

# **CANDIDATE'S MANUAL**

**GENERAL MUNICIPAL ELECTION  
NOVEMBER 6, 2018**

## **NOTICE TO CANDIDATES**

**This Candidate's Manual is intended to provide general information about the subject matter covered and does not have the force and effect of law, regulation, or rule. It is distributed with the understanding that the City Clerk's Office is not rendering legal advice, and therefore, the Candidate's Manual is not to be substituted for legal counsel for any individual or candidate. In case of conflict, the law, regulation, or rule will apply.**

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## 1. ELIGIBILITY

In order to be eligible to hold office as a member of the Council for the City of Pleasanton, a person must be a registered voter of the city at the time nomination papers are issued for his or her candidacy. Elected officials must be residents and continue to reside in the City during the term of office.

## 2. OFFICES TO BE FILLED

Mayor, 2-year term

Compensation: \$1,145 per month

Two members of the City Council, 4-year term

Compensation: \$1,045 per month

## 3. NOMINATION PERIOD

Section 10220 – Elections Code

Monday, July 16, 2018 at 8 a.m., will be the first date and time that nomination papers will be available at the City Clerk's Office, 123 Main Street.

Friday, August 10, 2018, at 5 p.m. will be the final date and time for filing any nomination papers.

### EXTENDED FILING PERIOD

Section 10225 – Elections Code

If Nomination Papers for an incumbent officer of the City are not filed by 5 p.m. on Friday, August 10, 2018, the Nomination Period will be extended until Wednesday, August 15, 2018, at 5 p.m. No incumbent may file during the extended filing period.

**Note:** City offices are open from 8 a.m. to 5 p.m., Monday through Friday, excluding holidays.

## 4. OFFICIAL FILING PETITION

Sections 10220 – Elections Code

The first step you should take in completing your petition is to decide if you will personally be the circulator or if someone will circulate it for you. Remember, whoever circulates the petition must personally witness each person's signature. Also remember, if you have someone else circulate the petition for you, he/she must be 18 years of age or older and must complete the Declaration of Circulator.

## **5. SIGNATURES; VERIFICATIONS; RESIDENCE ADDRESS**

### Section 105 – Elections Code

The second step is to obtain the signatures of voters of the City of Pleasanton. Although only 20 signatures are required, it is advisable to obtain 30. This will give you 10 extra signatures in the event some of the first 20 signatures do not qualify. For purposes of verifying signatures, the elections official shall determine that the residence address on the nomination petition is the same as the residence address on the affidavit of registration. If the addresses are different, or the residence address is not specified, the affected signature shall not be counted as valid

## **6. AFFIDAVIT OF NOMINEE AND CANDIDATE OATH OF OFFICE**

### Section 10223 – Elections Code

On the back of the nomination paper, there are two sections to be completed:

- (1) Affidavit of Nominee: This section is a declaration stating that the candidate will accept the nomination and the office in the event of his/her election. In addition, the candidate must state his/her ballot designation. (Please see guidelines on "Ballot Designations" Section 8)
- (2) Candidate Oath of Allegiance: This portion must be completed in the presence of the City Clerk at the time the candidate is issued nomination papers.

## **7. FILING OF NOMINATION PAPERS**

### Section 10224 – Elections Code

Once you have obtained all your signatures and completed forms, you must file the nomination papers with the City Clerk. All nominations papers shall be filed at the same time. Please refer to the checklist.

Filing – All nomination papers shall be filed with the City Clerk during regular business hours, 8 a.m. - 5 p.m., Monday through Friday, but not later than 5 p.m. on August 10, 2018.

## **8. BALLOT DESIGNATION REQUIREMENTS**

### Sections 10102 and 13107, 13107.5 – Elections Code

- (A) Immediately under the name of each candidate, and not separated from the name by any line, may appear, at the option of the candidate, only one of the following designations:



- (1) Words designating the elective city, county, district, state, or federal office which the candidate holds at the time of filing of the nomination papers to which he/she was elected by vote of the people.
  - (2) The word "incumbent" if the candidate is a candidate for the same office which he/she holds at the time of filing the nomination papers and was elected to that office by a vote of the people.
  - (3) No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nominations documents.
  - (4) The phrase "appointed incumbent" if the candidate holds an office other than a judicial office by virtue of appointment and the candidate is a candidate for election to the same office, or, if the candidate is a candidate for election to the same office or to some other office, the word "appointed" and the title of the office. In either instance, the candidate may not use the unmodified word "incumbent" or any words designating the office unmodified by the word "appointed."
- (B) In accordance with the Elections Code, no election official shall accept a designation which:
- (1) Would mislead the voters.
  - (2) Would suggest an evaluation of a candidate such as outstanding, leading, expert, virtuous, or eminent.
  - (3) Abbreviates the word "retired" or places it following any word or words, which it modifies.
  - (4) Uses the word or prefix such as "former" or "ex-," which means a prior status. The only exception is the use of the word "retired."
  - (5) Uses the name of any political party, whether or not it has qualified for the ballot.
  - (6) Uses a word or words referring to a racial, religious, or ethnic group.
  - (7) Refers to any activity prohibited by law.
- (C) If upon checking the nomination papers and the ballot designation worksheet the election official finds the designation to be in violation of any of the restrictions set forth in Section 13107 the election official shall notify the candidate by registered mail, return receipt requested.

- (1) The candidate shall, within three days from the date of receipt of the notice, appear before the election officer and provide an alternate designation.
  - (2) In the event the candidate fails to provide an alternate designation, no designation shall appear after the candidate's name.
- (D) A designation given by a candidate shall not be changed by the candidate after the final date for filing nomination papers except as specifically requested by the election official as specified in the Elections Code.

Additional conditions shall be met in using specific designations; see Elections Code.

## **9. PLACEMENT OF NAMES ON BALLOT**

Section 13112 (B) – Elections Code

On August 16, 2018, the Secretary of State will conduct a random drawing of letters of the alphabet. Candidates' names will be placed on the ballot by their surnames in the order determined by the drawing. Candidates will be notified of the results of the drawing.

## **10. CANDIDATE'S STATEMENT**

Section 13307 – Elections Code

A Candidate's Statement may be filed by the candidate for distribution in the voter information guide. Such Statement shall be filed with candidate's nomination papers. The statement may be withdrawn, but not changed, during the period for filing nomination papers and until 5 p.m. of the next working day after the close of the nomination period. A statement cannot be resubmitted after it is withdrawn.

The candidate's statement may contain the candidate's name, age, and occupation plus a brief description of the candidate's education and qualifications in not more than 200 words expressed by the candidate himself/herself.

Statements shall be typed, printed, signed and attached to the form provided. Statements will be printed exactly as submitted; candidates are therefore advised to carefully check their statements for errors in spelling, punctuation, and grammar. In addition to the printed signed copy, please provide an electronic copy via flash drive in MS Word or plain text format. For discrepancies between the printed and electronic copy, printed copy will prevail.

Statements will be printed in the voter information guide and mailed to each registered voter. The cost for translating and printing this statement is the responsibility of the candidate. A deposit in the amount of \$600 will be required at the time the statement is filed.

Section 13309 provides a procedure for candidates to prove indigence and thereby be exempt from any payment for his/her candidate's statement. If a determination of non-indigence is made, the candidate would be required to withdraw the statement or pay the established fee for printing the statement.

Section 13311 designates the candidate's statement a confidential document until the close of nominations.

## **11. FILING REQUIREMENTS**

### **FAIR POLITICAL PRACTICES COMMISSION (FPPC)**

The FPPC mandates the filing requirements for local candidates. The City Clerk serves as the filing officer for local campaign disclosure statements. The FPPC Campaign Disclosure Manual 2 provides detailed information to assist both the candidate and his/her treasurer in complying with the Political Reform Act.

#### **A. Form 700 Statement of Economic Interests (Government Code 87201)**

A Form 700, Statement of Economic Interests, shall be filed no later than the final filing date of a declaration of candidacy. The City of Pleasanton is an e-filing agency. Candidates will receive an email with directions and user ID information. All 700 forms are filed with the City Clerk and are forwarded to the Fair Political Practices Commission in accordance with Political Reform Act of 1974. Completed forms are public documents.

#### **B. Form 501 Candidate Intention Statement**

Candidates and officeholders who intend to raise or spend campaign funds must file Form 501, Candidate Intention, before soliciting or receiving any contributions (including loans).

**Exception:** The filing of Form 501 is not required if a candidate does not receive contributions and the only expenditures made will be the candidate's personal funds for a filing fee or the candidate's statement that will appear in the voter information guide.

#### **C. Form 410 Statement of Organization**

Form 410 must be filed by all candidates and "recipient committees" who have received \$2,000 or more in contributions (including the candidate's personal funds) during a calendar year.

The form must be filed with the Secretary of State within 10 days of receiving \$2,000 in contributions; a copy must be filed with the City Clerk. The Secretary of State will issue a committee identification number.

If any of the information on a Statement of Organization changes, the committee must file an amendment to the Statement within 10 days of the change.

There are special requirements for committees which qualify (i.e., receive \$1,000) 90 days prior to an election or during the 16 days before an election. Refer to 24-hour reporting requirements outlined on Form 410.

**D. Campaign Statements (Forms 460 and 470)**

Sept 27, 2018	1 <sup>st</sup> Pre-Election Statement
Oct 25, 2018	2 <sup>nd</sup> Pre-Election Statement
Nov 2, 2018	3 <sup>rd</sup> Pre-Election Statement
24 Hours	Late Contributions and Independent Expenditures
Jan 31, 2019	Semi Annual Statement

Per Section 1.20.020 of the Pleasanton Municipal Code all monetary contributions and expenditures of \$25 or more received from and paid to a single source, must be identified on the committee's Form 460.

Campaign statement must be filed electronically on the due date by 5 p.m. Penalties may be imposed on late filings.

**IRS TAX FILING REQUIREMENTS**

Any campaign committee that anticipates gross receipts (contributions) of \$25,000 or more in any taxable year must notify the US Department of Treasury that it is a "Section 527 Organization" and file an initial statement (Form 8871) and annual tax returns (Form 1120-POL).

**E. Late Contributions (Government Code 82036)**

A late contribution is a monetary or nonmonetary contribution, including a loan, or a combination of monetary and nonmonetary contributions and loans, that:

- Aggregates to \$1,000 or more from a single source that is made to or received by a candidate, a controlled committee, or a committee formed to support or oppose a candidate or measure; and
- Is made or received within 90 days before the election in which the recipient candidate or measure is to be voted on.

A late contribution includes contributions or loans from a candidate to his/her campaign committee during the late contribution period.

Officeholders, candidates, and committees (including major donors) who make late contributions--and recipients of such late contributions--must file a Late Contribution Report.

A Late Contribution Report must be e-filed within 24 hours of the time the contribution was made. The recipient must also file a Report within 24 hours of receiving the late contribution.

If a 470 filer receives \$1,000 or more in a calendar year, he/she must notify opposing candidates, Secretary of State, and local filing officers within 48 hours. Late Contribution Report Form 497 is available through the Office of the City Clerk.

**F. Form 495 Supplemental Pre-Election Campaign Statement**

Officeholders, candidates or committees who make contributions totaling \$5,000 or more in a calendar year file a Form 495.

**G. Form 496 Late Independent Expenditure Report**

Officeholders, candidates or committees who make independent expenditures totaling \$1,000 or more to support or oppose a single candidate or measure within 90 days of the election must e-file a Form 496.

**H. Form 462 Verification of Independent Expenditures**

Identifies the individual responsible for ensuring that a campaign committee's independent expenditures were not coordinated with the listed candidate (or the opponent) or measure committee and that the committee will report all contributions and reimbursements as required by law.

Form 462 must be filed with the FPPC by email within 10 days from the date of an independent expenditure that totals, in the aggregate, \$1,000 or more in a calendar year.

**I. Future Filings**

Future filings will depend on the outcome of the election and the status of the committee.

**12. POLITICAL SIGNS**

Political signs are a traditional means of expressing a candidate's philosophy or position. The main purpose of the City's sign ordinance is to allow freedom of expression while preserving the public safety and aesthetics.

Although the City is unable to regulate the commencement time for posting political signs, we recommend that the placement of signs not occur until 45 days (September 22nd) before the election date to minimize the visual impacts on our neighborhoods and thoroughfares.

The following is an excerpt from the Pleasanton Municipal Code pertaining to the regulation of political signs.

Section 18.100.040 – Posting of political campaign signs on private property.

- (a) No person shall post or cause to be posted on private property political campaign signs in an R District in excess of six (6) square feet. No person shall post or cause to be posted on private property campaign signs in any other zoning district in excess of sixteen (16) square feet.
- (b) Maximum area per site. No person shall post or caused to be posted political campaign signs on an individual parcel of private property in an R District, which in the aggregate exceeds twenty four (24) square feet. No person shall post or cause to be posted political campaign signs on an individual parcel of private property in any other zoning district which in the aggregate exceeds sixty four (64) square feet.
- (d) Permission to post. No person shall post or cause to be posted on private property political campaign signs, community event signs or religious holiday banners without first receiving permission from the property owner or any other person authorized by the property owner to give permission to post such signs.

Section 18.100.050 – Posting of political campaign signs on public property.

It is also unlawful for any person to post, place or affix a political campaign sign or cause to do the same, on or to any public property or utility structure. It is also unlawful for any persons to post, place or affix a political campaign sign or cause to do the same on private property in a manner in which poses a hazard to motorists, pedestrians or cyclists using the public rights of way, by blocking the view of traffic-control signs, devices or cross traffic or by protruding into the public right of way.

Section 18.100.060 – Removal of political campaign signs.

It is unlawful for any person to fail to remove a political campaign sign within five (5) days after the election for which the sign was posted.

Section 18.100.080 – Removal of illegal signs.

Any sign found posted within the corporate limits of the City which is in violation of Sections 18.100.040, 18.100.050, 18.100.060 shall be removed.

### **13. VOLUNTARY EXPENDITURE LIMIT**

Per Section 1.22.030 of the Pleasanton Municipal Code, candidates for the office of council member or mayor may voluntarily pledge to adhere to the expenditure limitation of \$51,312 by signing and submitting an original voluntary pledge, on the form provided, simultaneously with the candidate filing nomination papers for office.

Candidates who take the voluntary expenditure limitation pledge shall execute a verification, in a form provided by the city clerk, stating that such candidate or candidate's committee did not make any cumulative expenditure in excess of \$51,312. Such verification shall be filed with the city clerk along with each campaign statement.

### **14. MASS MAILING REQUIREMENTS**

The Political Reform Act specifies that a candidate or committee who sends a mass mailing must identify itself on the mailer. The definition of "Mass Mailing" is a mailing that consists of more than two hundred (200) substantially similar pieces of mail. A mass mailing does not include a form letter or other mail which is sent in response to an unsolicited request or letter or other inquiry.

### **15. REGISTRATION DEADLINE**

Section 2102 – Elections Code

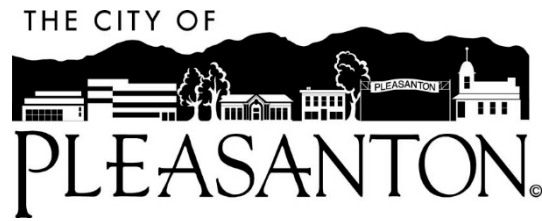
The last day to register to vote for this election is Monday, October 22, 2018.

### **16. INFORMATION REQUESTS**

Candidates are requested to direct all their requests for information about the City to the City Manager's Office at 931-5002. To ensure all candidates are presented with the same information, a copy of the information provided will be kept in a file in the City Clerk's Office.

### **17. VOTER'S EDGE**

The League of Women Voters is offering you an opportunity to spread the word about your campaign using Voter's Edge, a comprehensive online election guide. This service is free. It provides an opportunity for candidates to share information about themselves with voters and for the public to learn more about candidates and their positions. To see what Voter's Edge has to offer, you may view the site at [www.votersedge.org](http://www.votersedge.org). You will find information, interaction and services not found anywhere else: candidates' biographies that may include a photo, endorsements and positions on issues. There is also information on ballot measures, online news articles and polling place locations as well as information on candidates' forums. This is a valuable service. You will be contacted by the local Chapter as to when you will be able to input your information online.



# **CANDIDATE'S MANUAL**

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**GENERAL MUNICIPAL ELECTION**  
**NOVEMBER 6, 2018**



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# NOMINATION PAPER

## FOR CITYWIDE OFFICE

Any voter signing this Nomination Paper for a citywide office  
**MUST** be a resident and a registered voter of the city.

<b>OFFICIAL FILING FORM</b>
City Clerk or Deputy City Clerk
Date

We, the undersigned voters, hereby nominate \_\_\_\_\_  
 for the office of \_\_\_\_\_  
 for the City of **PLEASANTON**  
 to be voted for at the **GENERAL MUNICIPAL ELECTION**  
 to be held on Tuesday, **NOVEMBER 6, 2018**

<b>1</b>	Sign Name	Residence Address	For Official Use
	Print Name		
<b>2</b>	Sign Name	Residence Address	
	Print Name		
<b>3</b>	Sign Name	Residence Address	
	Print Name		
<b>4</b>	Sign Name	Residence Address	
	Print Name		
<b>5</b>	Sign Name	Residence Address	
	Print Name		
<b>6</b>	Sign Name	Residence Address	
	Print Name		
<b>7</b>	Sign Name	Residence Address	
	Print Name		
<b>8</b>	Sign Name	Residence Address	
	Print Name		
<b>9</b>	Sign Name	Residence Address	
	Print Name		
<b>10</b>	Sign Name	Residence Address	
	Print Name		

Public access to this document shall be limited to viewing the document only. The public may not copy or distribute copies of documents that contain signatures of voters. (E.C. Section 17100)

A candidate shall not file nomination papers for more than one municipal office or term of office for the same municipality in the same election. (E.C. 10220.5)

<b>11</b>	Sign Name	Residence Address	For Official Use
	Print Name		
<b>12</b>	Sign Name	Residence Address	
	Print Name		
<b>13</b>	Sign Name	Residence Address	
	Print Name		
<b>14</b>	Sign Name	Residence Address	
	Print Name		
<b>15</b>	Sign Name	Residence Address	
	Print Name		
<b>16</b>	Sign Name	Residence Address	
	Print Name		
<b>17</b>	Sign Name	Residence Address	
	Print Name		
<b>18</b>	Sign Name	Residence Address	
	Print Name		
<b>19</b>	Sign Name	Residence Address	
	Print Name		
<b>20</b>	Sign Name	Residence Address	
	Print Name		
<b>21</b>	Sign Name	Residence Address	
	Print Name		
<b>22</b>	Sign Name	Residence Address	
	Print Name		
<b>23</b>	Sign Name	Residence Address	
	Print Name		
<b>24</b>	Sign Name	Residence Address	
	Print Name		
<b>25</b>	Sign Name	Residence Address	
	Print Name		
<b>26</b>	Sign Name	Residence Address	
	Print Name		
<b>27</b>	Sign Name	Residence Address	
	Print Name		

## DECLARATION OF CIRCULATOR

Any person that is 18 years of age or older may circulate a nomination paper. (Only 1 circulator may circulate this nomination paper).  
(Do NOT type this section. It **MUST** be filled out in your own handwriting.)

I, \_\_\_\_\_, solemnly swear (or affirm) all of the following:  
(print name)

1. That I am 18 years of age or older.
2. That my residence address, including street and number, is \_\_\_\_\_, (if no street or number exists, a designation of my residence adequate to readily ascertain its location is \_\_\_\_\_);
3. That the signatures on this nomination paper were obtained between the dates of \_\_\_\_\_ and \_\_\_\_\_; that I circulated this petition and I saw the signatures on this section of the nomination papers being written; and that, to the best of my information and belief, each signature is the genuine signature of the person whose name it purports to be.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at \_\_\_\_\_, on \_\_\_\_\_.  
(place) (date)

(Election Code §§ 102, 104, 10220, 10222, 10226)

(Signature of Circulator)

## AFFIDAVIT OF NOMINEE AND OATH OR AFFIRMATION OF ALLEGIANCE

State of California }  
County of \_\_\_\_\_ } ss.

\_\_\_\_\_  
(Print Name of Nominee)

being duly sworn, says that he or she is the  
above-named nominee for the office of: \_\_\_\_\_

\_\_\_\_\_  
(Print Name of Office)

that he or she will accept the office in the event of his or her election,  
that he or she desires his or her name to appear on the ballot as follows: \_\_\_\_\_

and that he or she desires the following designation\*  
to appear on the ballot under his or her name: \_\_\_\_\_

and that his or her residence address is: \_\_\_\_\_

### Name & Occupation as it will appear on Official Ballot & in Voter Pamphlet:

\_\_\_\_\_  
(Print Name in ALL CAPS as you want it to appear on the ballot)  
(no title or degree is allowed before or after your name)\*\*

☐ Male ☐ Female (Print Designation as it will appear on the ballot)\*

\_\_\_\_\_  
(Print residence address as provided by affiant)

I, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States and the Constitution of the State of California against all enemies, foreign and domestic; that I will bear true faith and allegiance to the Constitution of the United States and the Constitution of the State of California; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties upon which I am about to enter.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at \_\_\_\_\_, on \_\_\_\_\_.  
(place) (date)

(Election Code §§ 200, 10223, 10226, CA Constitution Article XX, § 3)

(Signature of Candidate)

## \* BALLOT DESIGNATION REQUIREMENTS

\* At the option of the candidate, **ONLY ONE** of the following designations may be used:

1. Words designating the elective city, county, district, state or federal office which the candidate holds at the time of filing the nomination papers to which he or she was elected by vote of the people, or to which he or she was appointed, in the case of a superior or municipal court judge.
2. The word "Incumbent" (*without any other word(s)*) if the candidate is a candidate for the same office which he or she holds at the time of filing the nomination papers, and was elected to that office by a vote of the people, or in the case of a superior or municipal court judge, was appointed to that office.
3. No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents. For purposes of this section, all California geographical names shall be considered to be one word. Hyphenated words that appear in any generally available standard reference dictionary, published in the U.S. at any time within the 10 calendar years immediately preceding the election for which the words are counted, shall be considered as one word. Each part of all other hyphenated words shall be counted as a separate word. The use of the word "Retired" by itself or as a prefix is acceptable, but not after any other word or words (e.g. "Retired" and "Retired Army Officer" is permissible; "U.S.M.C., Retired" is not).
4. The phrase "Appointed Incumbent" if the candidate holds office by virtue of appointment, but may not use the unmodified word "Incumbent".

No candidate shall assume a designation which would mislead the voters.

(Election Code 13107, 13107.5)

\*\* No title or degree shall appear on the same line on a ballot as a candidate's name, either before or after the candidate's name. (Election Code 13106)

<b>28</b>	Sign Name	Residence Address	For Official Use
	Print Name		
<b>29</b>	Sign Name	Residence Address	
	Print Name		
<b>30</b>	Sign Name	Residence Address	
	Print Name		

## DECLARATION OF CIRCULATOR

(on next page)

(Only 1 person who is 18 years of age or older  
may circulate a municipal nomination paper, per Elections Code Sections 104, 10220, 10222)

## AFFIDAVIT OF NOMINEE AND OATH OR AFFIRMATION OF ALLEGIANCE

(on next page)

(A candidate may sign his or her own nomination paper)

### CANDIDATE'S PERSONAL INFORMATION

.....  
Candidate's name

.....  
Day Phone

.....  
Candidate's Residence Address

.....  
Evening Phone

.....  
Mailing Address (if different than above)

.....  
Fax

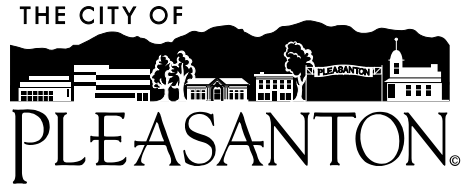
.....  
City

.....  
State

.....  
Zip

.....  
Email Address

# APPENDIX A: NOMINATION PAPER AND CHECKLIST



## CANDIDATE FILING CHECKLIST November 6, 2018 General Municipal Election

The following candidacy documents must be filed together by the final filing deadline for nomination documents. Instructions and filing dates are located throughout the candidate's manual.

1. Nomination Petition and \$25 filing fee
2. Ballot Designation Worksheet
3. Form 700 Statement of Economic Interests (e-filed)
4. Form 470 Candidate Campaign Statement Short (*if applicable*)
5. Candidate Statement Information Sheet
6. Candidate Information for Public Review
7. Manner of Payment Form (optional)
8. Printed and Signed Candidate Statement with Deposit \$600 (optional)
9. Code of Fair Campaign Practices (optional)
10. Voluntary Campaign Expenditure Limit Pledge (optional)

## APPENDIX B: ABBREVIATED ELECTION CALENDAR

July 16, 2018 (E-113) to August 10, 2018 (E-88)	<b>Nomination Period for All Candidates</b>
	During this period, all candidates must file their declarations of candidacy for office and circulate their nomination papers (if applicable). (EC §§ 10407 & 10510)
	<b>Candidate Statements</b>
	During this period, candidates for local nonpartisan offices may file a candidate statement not to exceed the word limitation of 200 words for inclusion within the sample ballot. The statement shall be filed no later than the last day to file nomination documents. (EC §§ 13307 & EC 10540)
August 10, 2018 (E-88)	<b>Nomination Period Deadline</b>
	Last day for all candidates to file nomination documents for examination and certification.
	<b>Candidate Statement Deadline</b>
	Last day for candidates to file a statement of qualification. (EC §13307, GV §85601)
August 11, 2018 (E-87) to August 15, 2018 (E-83)	<b>Nomination Period Extension If Incumbent Fails to File</b>
	If nomination documents for an eligible incumbent are not filed by 5 p.m. <b>on August 10, 2018</b> , a five-day extension is allowed for any person, other than the incumbent, to file for the office during the extended period. (EC §8024, §10516)
August 11, 2018 (E-87) to August 20, 2018 (E-78)	<b>Public Examination Period Candidate Statements/Candidates' Names and Ballot Designations</b>
	During this period, candidate statements, candidates' names, and ballot designations shall be open to public examination. Any person may view, file a writ of mandate or an injunction to require any or all the material/data to be amended or deleted. (EC §13313)
August 16, 2018 (E-82)	<b>Randomized Alphabet Drawings</b>
	Secretary of State draws random alphabet to determine the order of the candidate's names that will appear on the official ballot. The Registrar of Voters office conducts random alphabet drawing for multi-county State Legislative districts. (EC §13111, §13112)

September 10, 2018 (E-57) to October 23, 2018 (E-14)	<b>Write-In Candidacy Period</b>
	During this period, Write-In Candidates must file their Statement of Candidacy, nomination papers, and Declaration of Write-In Candidacy. (EC §8600, §8601)
October 8, 2018 (E-29)	<b>First Day</b> of Mailing Vote by Mail Ballots <b>First Day</b> of Early Voting at the Registrar of Voters office (EC §3001, §3302, §3003)
October 22, 2018 (E-15)	<b>Last Day</b> to Register to Vote for the <b>November 8, 2016 Election</b> (EC §2102, §2107)
October 23, 2018 (E-14)	<b>Write-In Candidacy Deadline</b>
	Last day for write-in candidates to file required write-in candidacy documents
October 30, 2018 (E-7)	<b>Last day to apply for a Vote by Mail ballot</b>
<b>November 6, 2018</b>	<b>**ELECTION DAY**</b>
	<b>Polls open from 7:00 a.m. to 8:00 p.m.</b>
November 7, 2018	Official Canvass of election begins
December 6, 2018	<b>Last Day</b> for the Registrar of Voters office to certify election results

**\*When a deadline falls on a holiday or weekend, it is extended to the following business day.**



## FPPC: IMPORTANT THINGS TO REMEMBER

<b>BE INFORMED</b>	Study the FPPC Campaign Disclosure Manuals (Campaign Disclosure Manual 1 - Information for State Candidates, Their Controlled Committees, and Primarily Formed Committees for State Candidates <b>or</b> Campaign Disclosure Manual 2 - Information for Local Candidates, Superior Court Judges, Their Controlled Committees, and Primarily Formed Committees for Local Candidates). Local candidates also should ask their election official about any local campaign restrictions.
<b>BEFORE RAISING OR SPENDING ANY MONEY</b>	File a Form 501 (Candidate Intention), and then open a campaign bank account. Once \$2,000 is raised or spent, get an identification number by filing Form 410.
<b>MARK YOUR CALENDAR</b>	Know the due dates for campaign statements and file on time.
<b>RECORD KEEPING &amp; E-FILE</b>	Maintain details on contributions and expenditures of \$25 or more. Refer to recordkeeping guidelines in your campaign disclosure manual. If you're campaigning and plan on raising money, fill out a Form 410 and send it to the SOS to receive your campaign ID number.
<b>100 OR MORE IN CASH?</b>	Never accept or spend \$100 or more in cash.
<b>USING PERSONAL FUNDS FOR CAMPAIGN EXPENSES</b>	All personal funds of the candidate must first be deposited in the campaign bank account, except for the filing fee/candidate statement fee.
<b>REPORT LATE CONTRIBUTIONS</b>	If \$1,000 or more is received from one contributor during the last 90 days before the election, disclose receipt within 24 hours, even if the contribution is from your personal funds.
<b>ITEMIZE CONTRIBUTORS</b>	For contributions of \$25 or more, including loans and in-kind contributions, you must disclose the contributor's name, address, occupation and employer.
<b>IF AN AGENT OR CAMPAIGN CONSULTANT BUYS GOODS OR SERVICES FOR THE CAMPAIGN</b>	Itemize expenditures of \$500 or more made by the agent or consultant.
<b>IDENTIFY CANDIDATE/COMMITTEE ON MAILINGS</b>	Include your name and campaign address in at least 6-point type on the outside of all mass mailings (more than 200 pieces). Your committee's name may be used if it includes your name. If your name is not part of the committee's name, you may use just your name, or both your name and the name of the committee.
<b>NO PERSONAL USE OF CAMPAIGN FUNDS</b>	Use campaign funds only for political, legislative, or governmental purposes.
<b>BE MORE INFORMED</b>	Attend a campaign workshop in your area. Contact your filing officer or the FPPC if you have any questions.

<p><b>RETURNING VOTE BY MAIL BALLOTS</b></p>	<p>All vote by mail ballots obtained between, October 8, 2018, through October 30, 2018, may either be returned by mail or in person to the Registrar of Voters office. On Election Day, vote by mail voters may turn in their ballots at any polling place within Alameda County or at the Registrar of Voters office.</p> <p>Vote by mail ballots may only be returned by the voter or, if a voter is ill or disabled, by the voter's spouse, child, parent, grandparent, grandchild, brother or sister. All vote by mail ballots must be received by the Registrar of Voters at the office or polls by 8:00 p.m. on Election Day, November 6, 2018.</p> <p>Vote by mail ballots issued between October 31, 2018, and November 6, 2018, may not be returned by mail. If the voter is unable to return the ballot, any third party may return it only if the voter has signed the statement on the ballot envelope authorizing the third party to return the ballot.</p>
<p><b>PROCESSING VOTE BY MAIL BALLOTS</b></p>	<p>The Registrar of Voters begins opening vote by mail ballots seven business days before the election. The processing of vote by mail ballots, which includes checking signatures and opening the ballot envelope, this is open to the public. The vote count is not released until after 8 p.m. on Election Day.</p>

## APPENDIX C-2: CAMPAIGN DISCLOSURE FILING SCHEDULE

### Campaign Disclosure Filing Schedule

<b>Deadline</b>	<b>Form</b>	<b>Period</b>	<b>Notes</b>
<b>Jul 31, 2018</b> <i>Semi-Annual</i>	460	* – 6/30/18	<ul style="list-style-type: none"> <li>All committees must file Form 460.</li> </ul>
<b>Within 24 Hours</b> <i>Contribution Reports</i>	497	8/8/18 – 11/6/18	<ul style="list-style-type: none"> <li>File if a contribution of \$1,000 or more in the aggregate is received from a single source.</li> <li>File if a contribution of \$1,000 or more in the aggregate is made to <i>another</i> candidate or measure being voted on the November 6, 2018 ballot or to a political party committee.</li> <li>The recipient of a non-monetary contribution of \$1,000 or more must file a Form 497 within 48 hours from the time the contribution is received.</li> </ul>
<b>Sep 27, 2018</b> <i>1<sup>st</sup> Pre-Election</i>	460 or 470	7/1/18 – 9/22/18	<ul style="list-style-type: none"> <li>Each candidate listed on the ballot must file Form 460 or Form 470 (see below).</li> </ul>
<b>Oct 25, 2018</b> <i>2<sup>nd</sup> Pre-Election</i>	460	9/23/18 – 10/20/18	<ul style="list-style-type: none"> <li>All committees must file Form 460.</li> </ul>
<b>Nov 2, 2018</b> <i>3<sup>rd</sup> Pre-Election</i>	460	10/21/18 – 10/30/18	<ul style="list-style-type: none"> <li>All committees must file Form 460.</li> </ul>
<b>Jan 31, 2019</b> <i>Semi-Annual</i>	460	10/31/18 – 12/31/18	<ul style="list-style-type: none"> <li>All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before December 31, 2018.</li> </ul>

- **Period Covered:** The period covered by any statement begins on the day after the closing date of the last statement filed, or January 1, if no previous statement has been filed.
- **Filing Deadlines:** Deadlines are extended when they fall on a Saturday, Sunday, or an official state holiday. This extension does not apply to 24-hour independent expenditure reports (Form 496) and the deadline for the Form 497 that is due the weekend before the election. Such reports must be filed within 24 hours regardless of the day of the week. Statements filed after the deadline are subject to a \$10 per day late fine.
- **Method of Delivery:** Online filing pursuant Pleasanton Municipal Code.
- **Form 501:** All candidates must file Form 501 (Candidate Intention Statement) before soliciting/receiving contributions.
- **Form 460:** Candidates who have raised/spent \$2,000 or more file the Form 460. The Form 410 (Statement of Organization) must also be filed once \$2,000 or more has been raised/spent.
- **Form 470:** Candidates who do not have an open committee and do not raise/spend \$2,000 or more in 2018 may file Form 470 on or before September 27, 2018. If later during the calendar year, a campaign committee must be opened, a Form 470 Supplement and a Form 410 must be filed.
- **Candidates:** After an election, reporting requirements will depend on whether the candidate is successful and whether a campaign committee is open.
- **Public Documents:** All forms are public documents. Campaign manuals and instructional materials are available at [www.fppc.ca.gov](http://www.fppc.ca.gov), click on the "Learn" link.
- Committees making independent expenditures totaling \$1,000 or more to support or oppose candidates or ballot measures also file:
  - Form 462 must be emailed to the FPPC within 10 days.
  - Form 496 is due within 24 hours when made in a 90-day period of the election or on the date of the election. Refer to the candidate or ballot measure election filing schedule. File online.

**PROPOSITION 34**  
**DISCLOSURE REQUIREMENTS AND RESTRICTIONS**  
**APPLICABLE TO LOCAL CANDIDATES AND COMMITTEES**

Proposition 34 was approved by the voters in the November 7, 2000 General Election and went into effect January 1, 2001. Proposition 34 amends California's Political Reform Act to impose mandatory contribution and voluntary expenditure limits on candidates for elective state offices. Some of the provisions added by Proposition 34 also affect local candidates and committees.

To implement Proposition 34, it will be necessary for the Fair Political Practices Commission to adopt regulations and develop revised disclosure forms. In the meantime, the following guidelines may be helpful for local candidates and committees.

**PROHIBITION AND RESTRICTIONS**

- Contributor occupation and employer. As in years past, committees must continue to disclose the occupation and employer of any individual who contributes \$100 or more during a calendar year. Under Proposition 34, however, if occupation/employer information is not obtained, the contribution must be returned within 60 days. (Gov. Code section 85700)
- Independent expenditures by candidate-controlled committees. Candidates are prohibited from using their campaign funds to make independent expenditures to support/oppose other candidates or ballot measures. (Gov. Code section 85501)
- Receipt of laundered campaign funds. If a committee receives contributions through an intermediary and the required information about the true source of the funds is not properly disclosed, the committee must pay the funds to the State General Fund. (Gov. Code section 85701)

**NEW DISCLOSURE REQUIREMENTS**

- Contributions by a spouse or minor children. Spouses may make separate contributions. A contribution made by a child under 18 is presumed to be a contribution from his or her parent or guardian. (Gov. Code section 85308)
- Late independent expenditures. A committee that makes independent expenditures supporting or opposing a candidate or ballot measure during the last 16 days before an election must disclose contributions received since the committee's last report as well as the independent expenditures made. (Gov. Code section 84204) FPPC Form 496 will be revised to implement the new requirement.
- Paid spokesperson. An individual who has been paid or promised \$5,000 or more for an appearance in a printed or broadcast advertisement supporting or opposing the qualification, passage, or defeat of a state or local ballot measure must file a report disclosing that fact. A new form will be developed by the FPPC to implement this disclosure requirement. Also, the advertisement must include a statement indicating that the individual has been paid. (Gov. Code section 84511)
- Slate mailer organizations. A slate mailer sent by a slate mailer organization (as defined by the Act) that purports to but does not represent a particular political party's support of or opposition to a candidate or ballot measure must state that the position represented is not the official position of the political party in question. (Gov. Code section 84305.6)

## **OTHER**

- Communications to members, employers, or shareholders. Communications supporting or opposing candidates or ballot measures that are made by an organization to its member, employees, shareholders, or their family members are not contributions or independent expenditures. (Gov. Code section 85312) Disclosure of these payments cannot be required. (Section 85700; Emergency Regulation 18573)
- Advertisements. New disclosure requirements for advertisements were enacted by Proposition 208 in November 1996 and were enjoined by the Federal District Court. Due to the passage of Proposition 34, most of these provisions are once again in effect. (Gov. Code sections 84501-84509, except section 84503, which continues to be enjoined)
- Administrative penalties. The maximum administrative penalty for violations of the Act increased from \$2,000 to \$5,000. (Gov. Code section 83116)

**The text of Proposition 34 and other important information is available on the Commission's website ([www.fppc.ca.gov](http://www.fppc.ca.gov)) or call the FPPC toll-free advice line at 1-866-ASK FPPC (1-866-275-3772).**

**The following information was provided by the Fair Political Practices Commission.**

# Statement of Organization Recipient Committee

CALIFORNIA  
FORM 410

## Who Files

**Recipient Committees:** Persons (including an officeholder or candidate), organizations, groups, or other entities that raise contributions from others totaling \$2,000 or more in a calendar year to spend on California elections. They must register with the Secretary of State and report all receipts and expenditures. "Contributions" include monetary payments, loans and non-monetary goods and services received or made for a political purpose.

**Candidates:** The personal funds of a candidate or officeholder used to seek or hold elective office are contributions and count toward qualifying as a recipient committee. However, personal funds used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet do not count toward the \$2,000 threshold.

**Multipurpose Organizations:** A nonprofit organization, federal or out-of-state PAC, or other multipurpose organization that makes contributions or expenditures in California elections may also be required to register as a recipient committee with the Secretary of State. See the Fact Sheet on Multipurpose Organizations Reporting Political Spending and the Supplemental Form 410 Instructions.

## When to File

File this form within 10 days of receiving \$2,000 in contributions. Include a \$50 payment made payable to the Secretary of State. Thereafter, the \$50 fee is due annually no later than January 15. In addition to the \$50 fee, a penalty of \$150 may be assessed if payment is late.

For early submissions, mark the "not yet qualified" box. The \$50 fee is requested at this time but is not legally required until the committee qualification threshold has been met.

## Where to File

**All Committees:** Form 410 with original ink signature(s)  
Secretary of State  
Political Reform Division  
1500 11th Street, Rm 495  
Sacramento, CA 95814

## County & City Committees:

Also file a copy with the local filing officer who will receive the original campaign statements.

Read instructions carefully as a Form 410 will be rejected if all applicable sections are not completed.

## Committee ID Number

The committee's FPPC ID number will be posted at [cal-access.sos.ca.gov](http://cal-access.sos.ca.gov). To receive an official, stamped copy of your approved Form 410, send a request, the original form, two copies of the form, and a self-addressed, stamped envelope, to the Secretary of State.

## Amendments

When information contained in the committee's Statement of Organization changes, file an amendment within 10 days of the change with the Secretary of State and local filing officer (if applicable). During the period 16 days before an election, file an amendment within 24 hours as described below.

## 24-Hour Reporting

In addition to the 10-day rule to file an original Form 410:

- A recipient committee that qualifies during the 16 days prior to an election in which it must file pre-election statements must file a Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements.
- A recipient committee that qualifies during the 90 days prior to an election or on the date of the election in which the committee makes independent expenditures of \$1,000 or more to support or oppose a candidate in that election must file the Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements and with the filing officer(s) for the candidate(s) supported or opposed by the independent expenditure.
- If, during the 16 days prior to an election when a committee is required to file pre-election statements, a change occurs in the name of the committee, the treasurer or other principal officers, or the controlling candidate, an amendment must be filed with the filing officer receiving the committee's original campaign statements within 24 hours of the change.

These filings must be made by fax, guaranteed overnight delivery, personal delivery or online (if online filing is available).

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee.

# Statement of Organization Recipient Committee

## Statement Type

☐ Initial☐ Amendment☐ Termination – See Part 5☐ Not yet qualified  
or☐ Date qualified as committee\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date qualified as committee\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date of termination

\_\_\_\_/\_\_\_\_/\_\_\_\_

Date Stamp

**CALIFORNIA  
FORM 410**

For Official Use Only

## 1. Committee Information

**I.D. Number**  
(if applicable)

NAME OF COMMITTEE

STREET ADDRESS (NO P.O. BOX)

CITY

STATE

ZIP CODE

AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT)

E-MAIL ADDRESS (REQUIRED) / FAX (OPTIONAL)

COUNTY OF DOMICILE

JURISDICTION WHERE COMMITTEE IS ACTIVE

## 2. Treasurer and Other Principal Officers

NAME OF TREASURER

STREET ADDRESS (NO P.O. BOX)

CITY

STATE

ZIP CODE

AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

STREET ADDRESS (NO P.O. BOX)

CITY

STATE

ZIP CODE

AREA CODE/PHONE

NAME OF PRINCIPAL OFFICER(S)

STREET ADDRESS (NO P.O. BOX)

CITY

STATE

ZIP CODE

AREA CODE/PHONE

*Attach additional information on appropriately labeled continuation sheets.*

## 3. Verification

I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on

DATE

By

SIGNATURE OF TREASURER OR ASSISTANT TREASURER

Executed on

DATE

By

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Executed on

DATE

By

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Executed on

DATE

By

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

FPPC Form 410 (February/2018)

FPPC Advice: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov) (866/275-3772)[www.fppc.ca.gov](http://www.fppc.ca.gov)

# Instructions for Statement of Organization

## Statement Type:

### Initial

Mark the "Initial" box and enter the date qualified as a committee. The "date qualified as a committee" is the date the committee received contributions totaling \$2,000 or more during a calendar year.

If the committee has not received contributions totaling \$2,000 or more, mark the "Initial" and "Not Yet Qualified" boxes.

### Amendment

If any of the information reported on an initial statement of organization changes:

- Mark the amendment box;
- Include the committee's ID number and name;
- Provide the changed information; and
- Complete the verification.

**Candidates:** Under certain circumstances, a candidate for local office may amend the Form 410 to indicate that he or she is seeking re-election to the same office. A candidate for state office must open a separate committee for each term of office and may not amend the Form 410 to redesignate an election committee.

### Termination

List the committee's name, identification number and indicate the date of termination, including completing the verification.

### 1. Committee Information:

Provide the full name of the committee. A committee may use only one name.

The committee's street address, e-mail address, and telephone number must be reported. A post office box is not acceptable. The committee's mailing address must also be reported if it is different from the street address. A post office box is acceptable for the mailing address. A committee's "domicile" is its address as listed on the Form 410. Los Angeles is the county of domicile for committees located outside California.

**Identify the jurisdiction where the committee is active.**  
**For example a city committee lists the name of the city.**

### Committee Name Requirements

The following committee name rules apply to the Form 410, the committee's campaign statements and to any other references to the committee required by law. See the instructions for Part 4 for committee definitions.

**Candidate Controlled Committees:** Any committee that is controlled by a state or local candidate or officeholder must include the last name of the candidate in the name of the committee. In addition, the following rules apply:

- An **election committee** controlled by one or more state or local candidates must also include the office the candidate(s) is seeking and the year of the election (e.g., Friends of Smith for Assembly 20XX, Jones for Council 20XX).
- An **officeholder committee** set up by a state officeholder must also include the office held, the year the officeholder was elected to the current term of office, and the words "Officeholder Account," as part of the committee name (e.g., Anderson Assembly 20XX Officeholder Account).
- A **legal defense fund** set up by a state or local candidate or officeholder must also include the words "Legal Defense Fund" as part of the committee name (e.g., Senator Smith Legal Defense Fund).
- A **ballot measure committee** controlled by one or more state candidates must also state that it is a ballot measure committee (e.g., Senator Lee's Ballot Measure Committee) prior to the designation of the ballot measure number. See additional requirements for primarily formed committees.

**Sponsored Committees:** A sponsored committee (including most political action committees) must include the full name of its sponsor in the name of the committee. If the committee has more than one sponsor and the sponsors are members of an industry or other identifiable group, include a term identifying that industry or group.

## Primarily Formed Committees

**Ballot Measures:** The name of each committee primarily formed to support or oppose a ballot measure must include:

- A statement identifying the ballot measure(s) number or letter and whether it supports or opposes the measure(s) (e.g., Committee For Proposition/ Measure \_\_ or Committee Against Proposition/ Measure \_\_).
- The economic or other special interests of its major donors of \$50,000 or more, in descending order based on the amount contributed to the committee. The list of these economic or special interests may not be interspersed with constituencies such as "concerned citizens, or consumers."
- The name of any state or local candidate that contributes \$50,000 or more.

**Recalls:** Each committee established for a recall election must include the name of the officeholder subject to the recall. If the committee is not controlled by the officeholder, the committee must state its support or opposition (e.g., Committee Opposing the Recall of Council Member Doe).

**Supporting or Opposing a Candidate:** The name of each committee primarily formed to support or oppose a state or local candidate(s) being voted on in a single election, other than a recall election, must include the last name of each candidate, the office sought, the year of the election and must state whether the committee supports or opposes the candidate(s) (e.g., Committee to Support Doe for Senate 20XX).



# Statement of Organization Recipient Committee

INSTRUCTIONS ON REVERSE

CALIFORNIA  
FORM 410

Page 2

COMMITTEE NAME

I.D. NUMBER

- All committees must list the financial institution where the campaign bank account is located.

NAME OF FINANCIAL INSTITUTION	AREA CODE/PHONE	BANK ACCOUNT NUMBER
ADDRESS	CITY	STATE ZIP CODE

## 4. Type of Committee Complete the applicable sections.

### Controlled Committee

- List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election.
- List the political party with which each officeholder or candidate is affiliated or check "nonpartisan." Stating "No party preference" is acceptable.
- If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee.

NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	CHECK ONE		PARTY
			Nonpartisan	Partisan	(list political party below)
			Nonpartisan	Partisan	(list political party below)

### Primarily Formed Committee

Primarily formed to support or oppose specific candidates or measures in a single election. List below:

CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER) IF A RECALL, STATE "RECALL" IN FRONT OF THE OFFICEHOLDER'S NAME.	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)	CHECK ONE	
		SUPPORT	OPPOSE
		SUPPORT	OPPOSE

# Instructions for Statement of Organization

## 2. Treasurer and Other Principal Officers:

A committee may have only one treasurer and one assistant treasurer. A candidate may be his or her own treasurer or assistant treasurer. A committee may not accept a contribution or make an expenditure without a treasurer.

A committee that is not controlled by a candidate or officeholder must disclose the name, street address, and telephone number of the committee's principal officer(s). The principal officer(s) of a committee are the individual(s) primarily responsible for approving the political activity of the committee, including authorizing the content of communications, authorizing contributions and other expenditures, and determining strategy. If more than three individuals qualify as principal officers of the committee, identify no fewer than three.

If no individual other than the committee treasurer qualifies as a principal officer, identify that individual as both the treasurer and the principal officer. An attachment may be necessary.

## 3. Verification/Original Ink Signature(s):

The Form 410 filed with the Secretary of State must contain an original signature(s). The committee treasurer or assistant treasurer must sign the Form 410. Also, each controlling officeholder, candidate or state ballot measure proponent must sign the Form 410. If more than three control the committee, one of them may sign on behalf of all controlling individuals. If a candidate will serve as his or her own treasurer, he or she must sign as the candidate and again as the treasurer.

## Bank Account Information

- Qualified committees must list the name and address of the financial institution where the campaign bank account is located and the bank account number.
- Non-qualified committees are not required to open a bank account.

## 4. Type of Committee:

### Controlled Committee

A "controlled committee" is one which is controlled directly or indirectly by an officeholder, candidate, or state measure proponent, or which acts jointly with an officeholder, candidate, state measure proponent, or another controlled committee in connection with making expenditures.

A committee is controlled if the officeholder, candidate, or proponent, his/her agent, or any other committee he/she controls, has a significant influence on the actions or decisions of the committee.

"Proponents" of state measures are persons who request the Attorney General to prepare a title and summary of a state initiative, referendum, or measure.

**Candidate Election Committee:** Identify the candidate's last name, office, election year and party, if applicable.

### Ballot Measure Committee Controlled by State

**Candidate:** Identify each measure on which the committee has spent or anticipates spending \$50,000 or more in the current two-year period, beginning with January 1 of an odd-numbered year. If the ballot designation has not been assigned, describe the purpose of the anticipated measure(s). Amend the Form 410 when a ballot designation is assigned. Provide this information in the primarily formed or general purpose section or on an attachment.

**Legal Defense Committee:** On an attachment, describe the specific legal dispute(s) for which the legal defense fund was established. The Form 410 must be amended within 10 days when legal disputes are either resolved or new disputes are initiated.

## Primarily Formed Committee

A committee is "primarily formed" when it makes or initially plans to make more than 70% of its contributions and expenditures to support or oppose a specific candidate or measure, or a group of measures or specific local candidates all being voted upon in the same election on the same date. (FPPC Regulation 18247.5)

**New committees:** A new committee formed within six months of a statewide regular election or within 30 days of a state special election is presumed to be primarily formed if the committee makes at least \$25,000 in independent expenditures to support or oppose a state candidate or measure. Monthly review is required for other new committees that spend at least \$1,000 a month and were formed within six months of an election in connection with which the committee makes contributions or expenditures.

Quarterly review at the end of March, June, September and December is required for other committees.

A committee controlled by a candidate for his or her own candidacy is not a primarily formed committee.

**State ballot measures - qualification ID number:** Certain committees must list in Section 4, Primarily Formed Committee, the Attorney General's Office assigned identification number to a proposed state ballot measure:

- A committee submitting the title and summary;
- A committee primarily formed for the measure; or
- A committee that spends \$100,000 or more on petition circulation for the measure.

**Recall Committees:** A committee supporting or opposing a recall must list "Recall [Officeholder's Name]," the office held by the recall target officeholder, and mark the appropriate box to indicate whether the committee supports or opposes the recall of the officeholder.

**Statement of Organization  
Recipient Committee**

INSTRUCTIONS ON REVERSE

**CALIFORNIA  
FORM 410**

Page 3

I.D. NUMBER

COMMITTEE NAME

**4. Type of Committee** (Continued)

**General Purpose Committee**

Not formed to support or oppose specific candidates or measures in a single election. Check only one box:

☐ CITY Committee ☐ COUNTY Committee ☐ STATE Committee ☐ Political Party/Central Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

**Sponsored Committee**

List additional sponsors on an attachment.

NAME OF SPONSOR

INDUSTRY GROUP OR AFFILIATION OF SPONSOR

STREET ADDRESS

NO. AND STREET

CITY

STATE

ZIP CODE

AREA CODE/PHONE

**Small Contributor Committee**

☐ \_\_\_\_/\_\_\_\_/\_\_\_\_  
Date qualified

**5. Termination Requirements**

By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or proponent certify that all of the following conditions have been met:

- This committee has ceased to receive contributions and make expenditures;
- This committee does not anticipate receiving contributions or making expenditures in the future;
- This committee has eliminated or has no intention or ability to discharge all debts, loans received, and other obligations;
- This committee has no surplus funds; and
- This committee has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions.
  - There are restrictions on the disposition of surplus campaign funds held by elected officers who are leaving office and by defeated candidates. Refer to Government Code Section 89519.
  - Leftover funds of ballot measure committees may be used for political, legislative or governmental purposes under Government Code Sections 89511 - 89518, and are subject to Elections Code Section 18680 and FPPC Regulation 18521.5.

# Instructions for Statement of Organization

CALIFORNIA  
FORM **410**

## General Purpose Committee

A committee is a “general purpose committee” if its principal activity is supporting or opposing a variety of candidates or measures voted on in different elections. (FPPC Regulation 18227.5)

- A **state committee** makes contributions or expenditures to support or oppose candidates or measures voted on in state elections, or in more than one county; it does not make over 70% of its contributions or expenditures in a single local jurisdiction. State contributions include contributions to other state general purpose committees. *All political party committees that meet the requirements as a political party pursuant to Elections Code Section 5100 (Government Code Section 85205) (including county central committees) are state committees.*
- A **county committee** makes more than 70% of its contributions or expenditures to support or oppose candidates or measures voted on in a single county, or in more than one jurisdiction within one county. This includes contributions to other general purpose committees in the same county.
- A **city committee** makes more than 70% of its contributions or expenditures to support or oppose candidates or measures voted on in a single city, or in one consolidated city and county. This includes contributions to other city general purpose committees in the same city.

*A city or county committee may make up to four contributions in a calendar year to candidates for elective state office whose districts are within the same jurisdiction and is not required to change its status to a state committee.*

A committee that has made contributions or expenditures of \$5,000 or more during a quarter must review its activity at the end of March, June, September and December to determine if the committee is filing reports in the appropriate

jurisdiction. During the first six months, a new committee must check its jurisdictional status each month the committee makes expenditures of \$1,000 or more. If a change of filing locations occurs, reports must be filed in both the new and old jurisdiction through the calendar year.

After marking the appropriate state, county or city box, provide a brief description of the committee’s political activities such as whether it supports candidates or measures that share a common political affiliation.

## Sponsored Committee

A “sponsored committee” is a general purpose or primarily formed committee, other than an officeholder or candidate controlled committee, that has one or more sponsors.

An organization, business, or other entity is a sponsor if one or more of the following apply:

- The committee receives 80% or more of its contributions from the entity or organization or its members, officers, employees, or shareholders.
- The entity or organization collects contributions for the committee by use of payroll deductions or dues from its members, officers or employees.
- The entity or organization, alone or in combination with other entities or organizations, provides all or nearly all of the administrative services for the committee.
- The entity or organization, alone or in combination with other entities or organizations, sets the policies for contribution solicitations or payment of expenditures from committee funds.

See the instructions for Part 1 for a sponsored committee’s name requirements.

## Small Contributor Committee

A “small contributor committee” is one that has been in existence for more than six months; receives

contributions from 100 or more persons; makes contributions to five or more candidates; and has not received more than \$200 from one person in a calendar year.

## 5. Termination Requirements

Recipient committees may only terminate when:

- They have ceased to receive contributions and make expenditures; and
- They do not anticipate receiving contributions, repayments of outstanding loans made to others, or any other receipts in the future, and they do not anticipate making expenditures in the future; and
- They have eliminated or have no intention or ability to discharge all their debts, loans received, and other obligations; and
- They have no funds; and
- They have filed all required campaign statements disclosing all reportable transactions, including disposition of funds.

**State Candidates:** There are mandatory termination deadlines applicable to your committees.

## How to Terminate

After the Termination Requirements above are met:

**State Committees:** Complete page one of the Form 410 and mark the termination box. Send the Form and last Form 450 or 460 (mark the termination box) to the Secretary of State.

**Local Committees:** Complete page one of the Form 410, mark the termination box and send the Form to the Secretary of State. Send a copy of the Form 410 and last Form 450 or 460 (mark the termination box) to your city or county filing officer.

## Who Files:

A candidate for state or local office must file this form for each election, including reelection to the same office. Exception: Candidates for county central committee that do not raise or spend \$2,000 or more in a calendar year.

## When to File:

File the Form 501 before you solicit or receive any contributions or before you make expenditures from personal funds on behalf of your candidacy. This form is considered filed the date it is postmarked or hand delivered.

Ensure campaign deadlines are met. Go to [www.fppc.ca.gov](http://www.fppc.ca.gov) for most campaign disclosure filing schedules or check with your local filing officer.

## Where to File:

### State Candidates (including Judges):

Secretary of State  
Political Reform Division  
1500 11th Street, Room 495  
Sacramento, CA 95814  
Phone (916) 653-6224  
[www.sos.ca.gov](http://www.sos.ca.gov)

### Local Candidates:

Generally your county election office or city clerk.  
Electronic filing may be required.

### Bank Account:

A separate campaign bank account must be established including campaigns that are self funded by the candidate. Exception: A bank account is not required if a candidate will not receive contributions or make personal expenditures of less than \$2,000. The filing and statement of qualification fees are not included in calculating the \$2,000.

## How to Complete:

All candidates: Complete Parts 1 and 3.

Candidates for elective state office: Complete Parts 1, 2, and 3.

Exception: Candidates for an election to the State Public Employees Retirement Board and the Teachers' Retirement Board do not complete Part 2.

### Part 1. Candidate Information

- Enter your name and street address.
- Enter the title of the office sought, agency name and district number if any (e.g., City Council member, City of Smalltown, Dist. 5), and political party affiliation, if seeking a partisan office.
- Check the appropriate box regarding the office's jurisdiction.

### Part 2. Voluntary Expenditure Ceiling

This section applies to certain candidates for elective state offices, including State Senate and Assembly and statewide offices.

The voluntary expenditure ceiling applicable to your office is set forth in FPPC Regulation 18545. You must state whether you accept or reject the expenditure ceiling. Candidates who accept the voluntary expenditure limit will be designated in either the state ballot pamphlet (statewide candidates) or the voter information portion of the sample ballot (Senate and Assembly candidates) and may purchase space for a 250-word statement there.

You may amend the Form 501 to change your acceptance or rejection of the voluntary expenditure ceiling only under the following circumstances:

- Between the date of filing an initial Form 501 for an election and the deadline for filing nomination papers for that election, you may amend your statement of acceptance or rejection of the voluntary expenditure ceiling no more than two times as long as the limit has not been exceeded.
- If you reject the voluntary expenditure ceiling in the primary or special election but do not exceed the ceiling during that election, you may amend the Form 501 to accept the expenditure ceiling for the general or special runoff election and receive all of the benefits accompanying the acceptance of the expenditure ceiling. The amended Form 501 must be filed within 14 days following the primary or special election.

### Personal Funds Notification:

You must disclose, if applicable, the date you contribute personal funds to your own campaign that exceed the expenditure ceiling. File an amended Form 501 within 24 hours by guaranteed overnight delivery, personal delivery, or, if applicable, by electronic means.

### Part 3. Verification

The verification is signed under penalty of perjury.

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee.

# Candidate Intention Statement

Date Stamp

**CALIFORNIA  
FORM****501**

For Official Use Only

Check One: ☐ Initial ☐ Amendment (Explain) \_\_\_\_\_  
\_\_\_\_\_

## 1. Candidate Information:

NAME OF CANDIDATE (Last, First, Middle Initial)

DAYTIME TELEPHONE NUMBER

FAX NUMBER (optional)

E-MAIL (optional)

STREET ADDRESS

( )  
CITY( )  
STATE

ZIP CODE

OFFICE SOUGHT (POSITION TITLE)

AGENCY NAME

DISTRICT NUMBER, if applicable.

☐ NON-PARTISAN

OFFICE JURISDICTION

☐ State (Complete Part 2.)☐ City☐ County☐ Multi-County:

(Name of Multi-County Jurisdiction)

(Year of Election)

## 2. State Candidate Expenditure Limit Statement:

(CalPERS and CalSTRS candidates, judges, judicial candidates, and candidates for local offices do not complete Part 2.)

\_\_\_\_\_  
(Year of Election) **Primary/general election**\_\_\_\_\_  
(Year of Election) **Special/runoff election**

(Check one box)

☐ I **accept** the voluntary expenditure ceiling for the election stated above.☐ I **do not accept** the voluntary expenditure ceiling for the election stated above.

Amendment:

☐ I did not exceed the expenditure ceiling in the primary or special election held on: \_\_\_\_/\_\_\_\_/\_\_\_\_ and I accept the voluntary expenditure ceiling for the general or special run-off election.

(Mark if applicable)

☐ On \_\_\_\_/\_\_\_\_/\_\_\_\_, I contributed personal funds in excess of the expenditure ceiling for the election stated above.

## 3. Verification:

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_,  
(month, day, year)Signature \_\_\_\_\_  
(Candidate)

# 2017/2018 Statement of Economic Interests



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## Form 700

A Public Document

*Also available on the FPPC website:*

- ***Form 700 in Excel format***
- ***Reference Pamphlet for Form 700***

California Fair Political Practices Commission

Email Advice: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916)322-5660 • Website: [www.fppc.ca.gov](http://www.fppc.ca.gov)

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## What's New

### Gift Limit Increase

The gift limit increased to \$470 for calendar years 2017 and 2018. The gift limit during 2016 was \$460.

### Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers").  
**Obtain your disclosure categories, which describe the interests you must report, from your agency;** they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)

**Exception:** Candidates for a county central committee are not required to file the Form 700.

- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, page 3, at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### Where to file:

#### 87200 Filers

State offices	➔	Your agency
Judicial offices	➔	The clerk of your court
Retired Judges	➔	Directly with FPPC
County offices	➔	Your county filing official
City offices	➔	Your city clerk
Multi-County offices	➔	Your agency

#### Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

**Code:** File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

#### Members of Boards and Commissions of Newly

**Created Agencies:** File with your newly created agency or with your agency's code reviewing body.

#### Employees in Newly Created Positions of Existing

**Agencies:** File with your agency or with your agency's code reviewing body. See Reference Pamphlet, page 3.

**Candidates:** File with your local elections office.

### How to file:

The Form 700 is available at [www.fppc.ca.gov](http://www.fppc.ca.gov). Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions.

### When to file:

#### Annual Statements

##### ➔ March 1, 2018

- Elected State Officers
- Judges and Court Commissioners
- State Board and State Commission Members listed in Government Code Section 87200

##### ➔ April 2, 2018

- Most other filers

Individuals filing under conflict of interest codes in city and county jurisdictions should verify the annual filing date with their local filing officers.

Statements postmarked by the filing deadline are considered filed on time.

#### Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

Exception:

If you assumed office between October 1, 2017, and December 31, 2017, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2019, or April 1, 2019, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2018. See Reference Pamphlet, pages 6 and 7, for additional exceptions.

#### Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

#### Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules at [www.fppc.ca.gov](http://www.fppc.ca.gov).

#### There is no provision for filing deadline extensions unless the filer is serving in active military duty.

Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.



## Introduction

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

### Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. During 2017 and 2018, the gift limit is \$470 from a single source during a calendar year.

In addition, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

### Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (i.e., a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. See Reference Pamphlet, page 10.

### Loan Restrictions

Certain state and local officials are subject to restrictions on loans. See Reference Pamphlet, page 14.

### Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

### Late Filing

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

**For assistance** concerning reporting, prohibitions, and restrictions under the Act:

- Email questions to [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov).
- Call the FPPC toll-free at (866) 275-3772.

### Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

## Types of Form 700 Filings

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### Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

For positions subject to confirmation by the State Senate or the Commission on Judicial Performance, your assuming office date is the date you were appointed or nominated to the position.

### Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

### Annual Statement:

Generally, the period covered is January 1, 2017, through December 31, 2017. If the period covered by the statement is different than January 1, 2017, through December 31, 2017, (for example, you assumed office between October 1, 2016, and December 31, 2016 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2017.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

### Leaving Office Statement:

Generally, the period covered is January 1, 2017, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2017, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2016, and December 31, 2016, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2017.

### Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

### Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

# Instructions

## Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

### Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file statements with each agency. To simplify your filing obligations, you may complete an expanded statement.
- To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

### Example:

Scott Baker is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Scott will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Scott will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

### Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the "other" box and enter the county or city in which the agency has jurisdiction.

### Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

<b>1. Office, Agency, or Court</b>	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position:
<b>2. Jurisdiction of Office (Check at least one box)</b>	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of
<input type="checkbox"/> City of	<input type="checkbox"/> Other

### Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2017 annual statement, **do not** change the pre-printed dates to reflect 2018. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2018, through December 31, 2018, will be disclosed on your statement filed in 2019. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

### Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; **or** if you have nothing to disclose on any schedule, check the "No reportable interests" box. Please **do not** attach any blank schedules.

### Part 5. Verification

Complete the verification by signing the statement and entering the date signed. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions. **When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

FPPC Form 700 (2017/2018)

FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

FPPC Toll-Free Helpline: 866/275-3772 [www.fppc.ca.gov](http://www.fppc.ca.gov)

Instructions – 1

**COVER PAGE**

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

**1. Office, Agency, or Court**

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable

Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: Position:

**2. Jurisdiction of Office (Check at least one box)**

- ☐ State ☐ Judge or Court Commissioner (Statewide Jurisdiction)  
☐ Multi-County ☐ County of  
☐ City of ☐ Other

**3. Type of Statement (Check at least one box)**

- ☐ **Annual:** The period covered is January 1, 2017, through December 31, 2017.  
-or- The period covered is / / , through December 31, 2017.  
☐ **Assuming Office:** Date assumed / /  
☐ **Candidate:** Date of Election and office sought, if different than Part 1:   
☐ **Leaving Office:** Date Left / / (Check one)  
☐ The period covered is January 1, 2017, through the date of leaving office.  
-or-  
☐ The period covered is / / , through the date of leaving office.

**4. Schedule Summary (must complete)**

► Total number of pages including this cover page: \_\_\_\_\_

**Schedules attached**

- ☐ **Schedule A-1 - Investments** – schedule attached ☐ **Schedule C - Income, Loans, & Business Positions** – schedule attached  
☐ **Schedule A-2 - Investments** – schedule attached ☐ **Schedule D - Income – Gifts** – schedule attached  
☐ **Schedule B - Real Property** – schedule attached ☐ **Schedule E - Income – Gifts – Travel Payments** – schedule attached

-or-

☐ **None - No reportable interests on any schedule**

**5. Verification**

MAILING ADDRESS STREET CITY STATE ZIP CODE  
(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS  
( )

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed (month, day, year)

Signature (File the originally signed statement with your filing official.)

## Which Schedule Do I Use?

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### Common Reportable Interests

Schedule A-1	Stocks, including those held in an IRA or a 401K
Schedule A-2	Business entities (including certain independent contracting), sole proprietorships, partnerships, LLCs, corporations, and trusts
Schedule B	Rental property in the jurisdiction, or within two miles of the boundaries of the jurisdiction
Schedule C	Non-governmental salaries of public official and spouse/registered domestic partner
Schedule D	Gifts from businesses (such as tickets to sporting or entertainment events)
Schedule E	Travel payments from third parties (not your employer)

### Common Non-Reportable Interests

Schedule A-1	Insurance policies, government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
Schedule A-2	Savings and checking accounts and annuities
Schedule B	A residence used exclusively as a personal residence (such as a home or vacation cabin)
Schedule C	Governmental salary (such as a school district)
Schedule D	Gifts from family members
Schedule E	Travel paid by your government agency

#### Remember:

- ✓ Mark the "No reportable interests" box on Part 4 of the Schedule Summary on the Cover Page if you determine you have nothing to disclose and file the Cover Page only. **Make sure you carefully read all instructions to ensure proper reporting.**
- ✓ The Form 700 is a public document.
- ✓ **Most individuals must consult their agency's conflict of interest code for reportable interests.**
- ✓ Most individuals file the Form 700 with their agencies.

## Questions and Answers

### General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position because they are or may be performing the duties of the position.
- Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.

### Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office or physical location in your jurisdiction. See Reference Pamphlet, page 13.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

## Questions and Answers Continued

- Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?
- A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.
- Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?
- A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.
- Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?
- A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

- Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?
- A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

### Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at [www.fppc.ca.gov](http://www.fppc.ca.gov). See Reference Pamphlet, page 14.
- Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?
- A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

## Questions and Answers Continued

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Reference Pamphlet, page 8, for the definition of "business entity."

Q. My husband is a partner in a four-person firm where all of his business is based on his own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your husband's investment in the firm is 10% or greater, disclose 100% of his share of the business on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

Q. How do I disclose my spouse's or registered domestic partner's salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. See Reference Pamphlet, page 14, for additional information.

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

### Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an "acquired" date?

A. No, you are not required to show an "acquired" date because you previously owned the property. However, you may want to note in the "comments" section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in real property for you.

### Gift Disclosure

Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?

A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.



## Questions and Answers Continued

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- Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2017 the gift limit was \$470, so the Bensons may have given the supervisor artwork valued at no more than \$940. The supervisor must identify Joe and Mary Benson as the sources of the gift.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.

## Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. See Reference Pamphlet, page 13.

### Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. See Reference Pamphlet, page 15, for more information on disclosing trusts.
- Business trusts

### You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)

- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

**Use Schedule A-1** to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. See second example below.

**Use Schedule A-2** to report ownership of 10% or greater (e.g., a sole proprietorship).

### To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

### Examples:

John Smith holds a state agency position. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

### Reminders

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

FPPC Form 700 (2017/2018)

FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

FPPC Toll-Free Helpline: 866/275-3772 [www.fppc.ca.gov](http://www.fppc.ca.gov)

Instructions – 8

**SCHEDULE A-1****Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

**CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☒ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                  ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
 ACQUIRED      DISPOSED

Comments: \_\_\_\_\_

## Instructions – Schedule A-2

### Investments, Income, and Assets of Business Entities/Trusts

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Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13. A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

#### To Complete Schedule A-2:

**Part 1.** Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

**Part 2.** Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

**Part 3.** Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting

period. See Reference Pamphlet, page 11, for examples. Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. See Reference Pamphlet, page 8, for an explanation of commission income.

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Using phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. See Reference Pamphlet, page 14, for details about requesting an exemption from disclosing privileged information.

**Part 4.** Report any investments or interests in real property held or leased **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

**SCHEDULE A-2**  
**Investments, Income, and Assets**  
**of Business Entities/Trusts**  
(Ownership Interest is 10% or Greater)

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

FAIR MARKET VALUE

- ☐ \$0 - \$1,999  
☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INVESTMENT

☐ Partnership    ☐ Sole Proprietorship    ☐ \_\_\_\_\_ Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

FAIR MARKET VALUE

- ☐ \$0 - \$1,999  
☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INVESTMENT

☐ Partnership    ☐ Sole Proprietorship    ☐ \_\_\_\_\_ Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

- ☐ \$0 - \$499      ☐ \$10,001 - \$100,000  
☐ \$500 - \$1,000      ☐ OVER \$100,000  
☐ \$1,001 - \$10,000

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**

☐ None    or    ☐ Names listed below

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT      ☐ REAL PROPERTY

Name of Business Entity, if Investment, or  
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or  
City or Other Precise Location of Real Property

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust    ☐ Stock    ☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

- ☐ \$0 - \$499      ☐ \$10,001 - \$100,000  
☐ \$500 - \$1,000      ☐ OVER \$100,000  
☐ \$1,001 - \$10,000

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**

☐ None    or    ☐ Names listed below

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT      ☐ REAL PROPERTY

Name of Business Entity, if Investment, or  
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or  
City or Other Precise Location of Real Property

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust    ☐ Stock    ☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

Comments: \_\_\_\_\_

## Instructions – Schedule B

### Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. See Reference Pamphlet, page 13.

#### Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

#### You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)

**Please note:** A non-reportable residence can still be grounds for a conflict of interest and may be disqualifying.

- Interests in real property held through a blind trust (See Reference Pamphlet, page 16, for exceptions.)

#### To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.

#### Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

#### Example:

Joe Nelson is a city planning commissioner. Joe received rental income of \$12,000 during the reporting period from a single tenant who rented property Joe owned in the city's jurisdiction. If Joe had received the \$12,000 from two or more tenants, the tenants' names would not be required as long as no single tenant paid \$10,000 or more. A married couple would be considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ACQUIRED _____ / ____ / 17 DISPOSED _____ / ____ / 17
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Leasehold <input type="checkbox"/> Easement <input type="checkbox"/> Other	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None Henry Wells	
NAME OF LENDER* Sophia Petroillo	
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	
Comments:	

FPPC Form 700 (2017/2018)

FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

FPPC Toll-Free Helpline: 866/275-3772 [www.fppc.ca.gov](http://www.fppc.ca.gov)

Instructions – 12

**SCHEDULE B**  
**Interests in Real Property**  
(Including Rental Income)

**CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
☐ Leasehold \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

☐ None

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/17      \_\_\_\_/\_\_\_\_/17  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
☐ Leasehold \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

☐ None

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* You are not required to report loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_%      ☐ None

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
☐ Guarantor, if applicable

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_%      ☐ None

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
☐ Guarantor, if applicable

Comments: \_\_\_\_\_



# Instructions – Schedule C

## Income, Loans, & Business Positions

### (Income Other Than Gifts and Travel Payments)

#### Reporting Income:

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. See Reference Pamphlet, page 11. You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

The source and income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13, for more information about doing business in the jurisdiction. Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

#### Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

#### Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10, concerning your ability to receive future honoraria.)
- Incentive compensation (See Reference Pamphlet, page 12.)

#### Reminders

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

#### You are not required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

**See Reference Pamphlet, page 11, for more exceptions to income reporting.**

#### To Complete Schedule C:

##### Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. See Reference Pamphlet, page 8. **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

##### Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
  - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
  - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.



**SCHEDULE C**  
**Income, Loans, & Business**  
**Positions**  
(Other than Gifts and Travel Payments)

<b>CALIFORNIA FORM 700</b> FAIR POLITICAL PRACTICES COMMISSION
Name _____

► 1. INCOME RECEIVED	► 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____	NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____
GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input checked="" type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)	CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)

► 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

\* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER* _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF LENDER _____ HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	INTEREST RATE _____% <input type="checkbox"/> None SECURITY FOR LOAN <input type="checkbox"/> None <input type="checkbox"/> Personal residence <input type="checkbox"/> Real Property _____ Street address _____ City <input type="checkbox"/> Guarantor _____ <input type="checkbox"/> Other _____ (Describe)
---	--

Comments: \_\_\_\_\_

## Instructions – Schedule D

### Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

#### Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10, regarding your ability to receive future honoraria.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

#### You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without

being claimed by you as a charitable contribution for tax purposes

- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

#### To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

#### Reminders

- Gifts from a single source are subject to a \$470 limit during 2017. See Reference Pamphlet, page 10.
- Code filers – you only need to report gifts from reportable sources.

#### Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

Name \_\_\_\_\_

# **SCHEDULE D** **Income – Gifts**

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**▶ NAME OF SOURCE (Not an Acronym)**

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

**Comments:** \_\_\_\_\_

## Instructions – Schedule E Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### You are **not** required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

**Note: Certain travel payments may not be reportable if reported on Form 801 by your agency.**

### To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
  - **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift, the **date(s)** received, and the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

### Example:

City council member Rick Chandler is the chairman of a 501 (c)(6) trade association and the association pays for Rick's travel to attend its meetings. Because Rick is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for Rick to attend other events for which he is not providing services are likely considered gifts.

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S):	AMT: \$ 150.00
(If gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description Travel reimbursement for board meeting	

**SCHEDULE E**  
**Income – Gifts**  
**Travel Payments, Advances,**  
**and Reimbursements**

<b>CALIFORNIA FORM 700</b> <b>FAIR POLITICAL PRACTICES COMMISSION</b>
Name _____

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. These payments are not subject to the gift limit, but may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

▶ NAME OF SOURCE *(Not an Acronym)* \_\_\_\_\_

ADDRESS *(Business Address Acceptable)* \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$ \_\_\_\_\_  
*(If gift)*

▶ MUST CHECK ONE:    ☐ Gift    **-or-**    ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description \_\_\_\_\_

▶ If Gift, Provide Travel Destination \_\_\_\_\_

▶ NAME OF SOURCE *(Not an Acronym)* \_\_\_\_\_

ADDRESS *(Business Address Acceptable)* \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$ \_\_\_\_\_  
*(If gift)*

▶ MUST CHECK ONE:    ☐ Gift    **-or-**    ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description \_\_\_\_\_

▶ If Gift, Provide Travel Destination \_\_\_\_\_

▶ NAME OF SOURCE *(Not an Acronym)* \_\_\_\_\_

ADDRESS *(Business Address Acceptable)* \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$ \_\_\_\_\_  
*(If gift)*

▶ MUST CHECK ONE:    ☐ Gift    **-or-**    ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description \_\_\_\_\_

▶ If Gift, Provide Travel Destination \_\_\_\_\_

▶ NAME OF SOURCE *(Not an Acronym)* \_\_\_\_\_

ADDRESS *(Business Address Acceptable)* \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$ \_\_\_\_\_  
*(If gift)*

▶ MUST CHECK ONE:    ☐ Gift    **-or-**    ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description \_\_\_\_\_

▶ If Gift, Provide Travel Destination \_\_\_\_\_

Comments: \_\_\_\_\_

## APPENDIX D: RESOURCES

**Fair Political Practices Commission (FPPC)** provides free, expert advice at their toll free number: (866) ASK FPPC (275-3772) or you may go to their website at: [www.fppc.ca.gov/](http://www.fppc.ca.gov/) or email FPPC Advice at [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

Forms and information available on the FPPC website include:

- Candidate Toolkit – Getting Started: [www.fppc.ca.gov/learn/campaign-rules/candidate-toolkit-getting-started.html](http://www.fppc.ca.gov/learn/campaign-rules/candidate-toolkit-getting-started.html)
- Campaign Disclosure Manual 2 – Information for Local Candidates: [www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Manuals/Manual\\_2/Final\\_Manual\\_2\\_Entire\\_Manual.pdf](http://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Manuals/Manual_2/Final_Manual_2_Entire_Manual.pdf)
- Campaign Disclosure Form 501: [www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Forms/501.pdf](http://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Forms/501.pdf)
- Campaign Disclosure Form 410: [www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Forms/410.pdf](http://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Forms/410.pdf)
- Limitations and Restrictions on Gifts, Honoraria, Travel and Loans: [www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Public%20Officials%20and%20Employees/LocalGiftFactSheet.pdf](http://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Public%20Officials%20and%20Employees/LocalGiftFactSheet.pdf)

**Electronic Filing System:** <http://nf4.netfile.com/filer/Login.aspx?aid=COP>

**City of Pleasanton:** [www.cityofpleasantonca.gov](http://www.cityofpleasantonca.gov)

- Pleasanton Municipal Code Chapter 1.20 (Campaign Finance Reform): [www.qcode.us/codes/pleasanton/view.php?topic=1-1\\_20&frames=on](http://www.qcode.us/codes/pleasanton/view.php?topic=1-1_20&frames=on)
- Pleasanton Municipal Code Chapter 1.22 (Voluntary Campaign Expenditure Limitation): [www.qcode.us/codes/pleasanton/view.php?topic=1-1\\_22&frames=on](http://www.qcode.us/codes/pleasanton/view.php?topic=1-1_22&frames=on)

**Secretary of State:** [www.sos.ca.gov/elections/](http://www.sos.ca.gov/elections/)

**Alameda County Registrar of Voters:** [www.acgov.org/rov/index.htm](http://www.acgov.org/rov/index.htm)

**Voter's Edge:** <https://votersedge.org/ca/page/smartvoter>

## **APPENDIX E: MISCELLANEOUS**

### **LITERATURE REQUIREMENTS**

#### **§ 16, Elections Code**

A copy of Section 84305 of the Government Code shall be provided by the elections official to each candidate or his or her agent at the time of filing the declaration of candidacy and to the proponents of a local initiative or referendum at the time of filing the petitions.

### **MASS MAILING REQUIREMENTS**

#### **§ 84305, Government Code**

(a) (1) Except as provided in subdivision (b) a candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee shall not send a mass mailing unless the name, street address, and city of the candidate or committee are shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type that is in a color or print that contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the candidate's, candidate controlled committee established for an elective office for the controlling candidate's, or political party committee's address is a matter of public record with the Secretary of State.

(2) Except as provided in subdivision (b), a committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee, shall not send a mass mailing that is not required to include a disclosure pursuant to Section 84502 unless the name, street address, and city of the committee is shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type that is in a color or print that contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the committee's address is a matter of public record with the Secretary of State.

(b) If the sender of the mass mailing is a single candidate or committee, the name, street address, and city of the candidate or committee need only be shown on the outside of each piece of mail.

(c) (1) A candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee shall not send a mass electronic mailing unless the name of the candidate or committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(2) A committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee, shall not send a mass electronic mailing that is not required to include a disclosure pursuant to Section 84502 or 84504.3 unless the name of the committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(d) If the sender of a mass mailing is a controlled committee, the name of the person controlling the committee shall be included in addition to the information required by subdivision (a).

(e) For purposes of this section, the following terms have the following meaning:

(1) "Mass electronic mailing" means sending more than two hundred substantially similar pieces of electronic mail within a calendar month.

(2) “Sender” means the candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable pursuant to Sections 84200 to 84217, inclusive.

(3) To “pay for” a share of the cost of a mass mailing means to make, to promise to make, or to incur an obligation to make, any payment: (A) to any person for the design, printing, postage, materials, or other costs of the mailing, including salaries, fees, or commissions, or (B) as a fee or other consideration for an endorsement or, in the case of a ballot measure, support or opposition, in the mailing.

(f) This section does not apply to a mass mailing or mass electronic mailing that is paid for by an independent expenditure.

## **PENAL PROVISIONS – ELECTION CAMPAIGNS**

### **§ 18303, Election Code**

Every person who violates Section 84305 of the Government Code relating to mass mailing is subject to the penal provisions set forth in Chapter 11 (commencing with Section 91000) of Title 9 of the Government Code.

### **§ 91000, Government Code**

(a) Any person who knowingly or willfully violates any provision of this title is guilty of a misdemeanor.

(b) In addition to other penalties provided by law, a fine of up to the greater of ten thousand dollars (\$10,000) or three times the amount the person failed to report properly or unlawfully contributed, expended, gave or received may be imposed upon conviction for each violation.

(c) Prosecution for violation of this title must be commenced within four years after the date on which the violation occurred.

### **§ 91001, Government Code**

(a) The Attorney General is responsible for enforcing the criminal provisions of this title with respect to state agencies, lobbyists and state elections. The district attorney of any county in which a violation occurs has concurrent powers and responsibilities with the Attorney General.

(b) The civil prosecutor is primarily responsible for enforcement of the civil penalties and remedies of this title. The civil prosecutor is the commission with respect to the state or any state agency, except itself. The Attorney General is the civil prosecutor with respect to the commission. The district attorneys are the civil prosecutors with respect to any other agency. The civil prosecutor may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Upon written authorization from a district attorney, the commission may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Under such circumstances, Section 91007 shall not apply to the commission.

(c) Whether or not a violation is inadvertent, negligent or deliberate, and the presence or absence of good faith shall be considered in applying the remedies and sanctions of this title.



## DEFINITION OF MASS MAILING AND SENDER

### **§ 18435, California Code of Regulations**

(a) A “mass mailing” has been made when over two hundred substantially similar pieces of mail have been sent within a calendar month.

(b) The sender, as used in Government Code Section 84305, is the candidate or committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable under Government Code Sections 84200-84217.

(c) For purposes of this section to “pay for” a share of the cost of a mass mailing means to make, to promise to make, or to incur an obligation to make, any payment:

- (1) To any person for the design, printing, postage, materials or other costs (including salaries, fees, or commissions) of the mailing; or
- (2) As a fee or other consideration for an endorsement or, in the case of a ballot measure, support or opposition, in the mailing.

(d) The identification required by Section 84305 shall be preceded by the words “Paid for by.” These words shall be presented in the same size and color as the identification required by Section 84305, and shall be immediately adjacent to and above or immediately adjacent to and in front of the required identification.

(e) The requirements of Section 84305 to identify the name of the candidate or committee sending a mass mailing apply to over 200 substantially similar messages distributed to the public through electronic mail by a candidate or committee within a calendar month.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 82041.5 and 84305, Government Code.

### **§ 18435.5, California Code of Regulations**

(a) Section 84305.5 requires a slate mailer to identify the slate mailer organization or committee sending the slate mailer, and to designate by an asterisk (\*) each candidate and each ballot measure supported or opposed in a slate mailer for which payment of \$100 or more has been received by the organization or committee (either from the candidate, ballot measure committee, or from any other person “at the behest” of a candidate or ballot measure committee as defined in Regulation 18225.7).

(b) To ensure that it is easily legible, the Notice to Voters required by Section 84305.5 shall appear with a reasonable degree of color contrast between the background and the statement and must appear on a plain background, not superimposed over an illustration or a patterned background. Examples of a reasonable degree of color contrast that would meet the standard required by Section 84305.5 are when the disclaimer is printed in black text on a white background or a similar degree of color contrast between the background and the text of the disclaimer.

(c) **Slate Mailers in Multiple Languages.** The Notice to Voters in a slate mailer shall appear in English. In addition, if all or a significant portion of the slate mailer appears in a language other than English, the Notice to Voters must also appear in that language.

(d) In addition to applying to slate mailers sent by traditional mail, the slate mailer identification and disclaimer requirements of Section 84305.5 apply to slate mailers distributed electronically.

Note: Authority cited: Section 83112, Government Code. Reference: Section 84305.5, Government Code.

## **ELECTIONEERING ON ELECTION DAY**

### **§ 18370, Election Code**

No person on Election Day shall, within 100 feet of a polling place:

- Circulate an initiative, referendum, recall or nomination petition or any other petition.
- Solicit a vote or speak to a voter on the subject of marking his ballot.
- Place a sign relating to voters' qualifications or speak to a voter on the subject of his/her qualifications except as provided in EC Section 14240.
- Do any electioneering.

As used in this section "100 feet from a polling place or an election official's office" means a distance 100 feet from the room or rooms in which voters are signing the roster and casting ballots.

Any person who violates any of the provisions of this section is guilty of a misdemeanor.

# **CODE OF FAIR CAMPAIGN PRACTICES**

**(Division 20, Chapter 5, Elections Code.)**

## **Chapter 5. Fair Campaign Practices**

### **Article 1. General Intent**

20400. The Legislature declares that the purpose of this chapter is to encourage every candidate for public office in this state to subscribe to the Code of Fair Campaign Practices.

It is the ultimate intent of the Legislature that every candidate for public office in this state who subscribes to the Code of Fair Campaign Practices will follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested, but fairly conducted campaigns, the citizens of this state may exercise their constitutional right to vote, free from dishonest and unethical practices which tend to prevent the full and free expression of the will of the voters.

The purpose in creating the Code of Fair Campaign Practices is to give voters guidelines in determining fair play and to encourage candidates to discuss issues instead of untruths or distortions.

### **Article 2. Definitions**

20420. As used in this Chapter, "Code" means the Code of Fair Campaign Practices.

### **Article 3. Code of Fair Campaign Practices**

20440. At the time an individual is issued his or her declaration of candidacy, nomination papers, or any other paper evidencing an intention to be a candidate for public office, the elections official shall give the individual a blank form of the code and a copy of this chapter. The elections official shall inform each candidate for public office that subscription to the code is voluntary.

In the case of a committee making an independent expenditure, as defined in Section 82031 of the Government Code, the Secretary of State shall provide a blank form and a copy of this chapter to the individual filing, in accordance with Title 9 (commencing with § 81000) of the Government Code, an initial campaign statement on behalf of the committee.

The text of the Code shall read, as follows: **(See "CODE OF FAIR CAMPAIGN PRACTICES" on reverse side).**

20442. The elections official shall accept, at all times prior to the election, all completed forms that are properly subscribed to by a candidate for public office and shall retain them for public inspection until 30 days after the election.

20443. Every code subscribed to by a candidate for public office pursuant to this chapter is a public record open for public inspection.

20444. In no event shall a candidate for public office be required to subscribe to or endorse the code.

## CODE OF FAIR CAMPAIGN PRACTICES

There are basic principles of decency, honesty, and fair play which every candidate for public office in the State of California has a moral obligation to observe and uphold in order that, after vigorously contested but fairly conducted campaigns, our citizens may exercise their constitutional right to a free and untrammelled choice and the will of the people may be fully and clearly expressed on the issues.

### THEREFORE:

- (1) **I SHALL CONDUCT** my campaign openly and publicly, discussing the issues as I see them, presenting my record and policies with sincerity and frankness, and criticizing without fear or favor the record and policies of my opponents or political parties that merit this criticism.
- (2) **I SHALL NOT USE OR PERMIT** the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or his or her personal or family life.
- (3) **I SHALL NOT USE OR PERMIT** any appeal to negative prejudice based on a candidate's actual or perceived race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age, sexual orientation, sex, including gender identity, or any other characteristic set forth in Section 12940 of the Government Code, or association with another person who has any of the actual or perceived characteristics set forth in Section 12940 of the Government Code.
- (4) **I SHALL NOT USE OR PERMIT** any dishonest or unethical practice that tends to corrupt or undermine our American system of free elections, or that hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.
- (5) **I SHALL NOT** coerce election help or campaign contributions for myself or for any other candidate from my employees.
- (6) **I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE** support deriving from any individual or group that resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics that I condemn. I shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.
- (7) **I SHALL DEFEND AND UPHOLD** the right of every qualified American voter to full and equal participation in the electoral process.

I, the undersigned, candidate for election to public office in the State of California or treasurer or chairperson of a committee making any independent expenditures, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct my campaign in accordance with the above principles and practices.

---

Signature

---

Date

---

Candidates Name

November 6, 2018

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Date of Election

# APPENDIX F: CANDIDATE'S STATEMENT

*Required to be given to candidate.  
Required to be signed and returned.*

## CANDIDATE'S STATEMENT INFORMATION SHEET

Complete this form, and submit with your candidate statement. Please use all regular lower case letters (**do not use all caps**). Provide a brief description of no more than 200 words, of the candidate's education and qualifications. Be sure to include the official title of the office you are a candidate for, your name, age, and occupation.

*(see bottom of reverse side for sample format)*

**Enter the candidates' name and the office title:**

**Enter the name of the jurisdiction to which the office belongs, if other than the name of the city (i.e., the name of the school district).**

Candidates Name ☐ **Male** ☐ **Female**

Jurisdiction Name

Office Title (i.e. Mayor, Member of the City Council, City Clerk, Member of the Board of Education, etc.)

☐ **I DO NOT WANT** to file a candidate statement.

☐ **I DO WANT** to file a candidate statement but want to only have it on the city website for electronic distribution.

☐ **I DO WANT** my English Candidate Statement to be printed in the Voter Information Guide & on the city website for electronic distribution.

**I ALSO WANT** my English Candidate Statement to be printed in the Voter Information Guide & on the city website for electronic distribution in the following languages:

☐ Spanish/Colloquial (informal) ☐ Chinese/Traditional ☐ Japanese ☐ Korean ☐ Tagalog  
☐ Spanish/Castilian (formal) ☐ Chinese/Simplified ☐ Vietnamese ☐ Thai ☐ Khmer

**Signature of Candidate:** \_\_\_\_\_

### STATE LAW PROVIDES (per Election Code Section 13307, 13308):

1. A Candidate Statement is optional and available to all candidates for nonpartisan offices.
2. The statement may include candidate's age, occupation and a brief description of education and qualifications (expressed by the candidate himself or herself).
3. Each local jurisdiction determines:
  - a. the maximum number of words allowed, usually 200 words
  - b. responsibility for payment, the candidate or the jurisdiction
  - c. whether the costs are to be paid in advance.
4. Reference to political party affiliation or mention of any partisan political membership or activity is not permitted.
5. Reference to other candidates for that office or to another candidate's qualifications, character, or activities are prohibited.
6. **No changes of any kind are allowed AFTER the statement is filed.**
7. The statement may be withdrawn (in writing) up to 5:00 pm of the next working day after the close of the nomination period.
8. Statements are confidential until after the close of the nomination period.
9. A candidate may request that the statement also be printed in other languages and included in the Voter Information Guide mailed to all voters in the election area. An additional fee may be required to print the additional languages.

### CANDIDATE STATEMENTS MUST BE FILED AT THE TIME NOMINATION PAPERS ARE FILED.

#### COST INFORMATION:

The estimated cost is determined prior to all information being available, therefore, it is an approximation of the actual cost that varies from election to election and may be significantly more or less depending on the actual number of candidates filing statements.

For Election Official's use only: Estimated Cost of Printing Candidate's Statement in:

English: \_\_\_\_\_ Spanish: \_\_\_\_\_ Chinese: \_\_\_\_\_ Korean: \_\_\_\_\_ Tagalog: \_\_\_\_\_ Vietnamese: \_\_\_\_\_ Other: \_\_\_\_\_

If applicable, the below estimated cost is for the Translations (and formatting if translation is provided by the candidate) and this cost does not include printing, which cost is noted above:

Spanish: \_\_\_\_\_ Chinese: \_\_\_\_\_ Korean: \_\_\_\_\_ Tagalog: \_\_\_\_\_ Vietnamese: \_\_\_\_\_ Other: \_\_\_\_\_

## CANDIDATE'S STATEMENT INFORMATION SHEET

Please type using regular lowercase letters, do not use all CAPS.  
Type your statement clearly and legibly - DO NOT handwrite or print.

Section 13307 of the Elections Code of the State of California sets forth guidelines for candidate's statements.  
Please follow them:

1. The statement of each candidate shall be printed in type of uniform size and darkness and with uniform spacing.
2. The statement shall not include any party affiliation or membership or activity in partisan political organizations.
3. Reference to other candidates for that office or to another candidate's qualifications, character, or activities are prohibited.
4. Your statement will be printed as submitted; therefore you are advised to carefully check for errors in punctuation and grammar. Spelling however, will be corrected by the computer automatically.
5. Remember to sign this form and any supplemental sheets if used and attach them to your statement. If you wish to have a Foreign language translation of your statement prepared for printing in the Voter's Pamphlet, be sure to check the space(s) provided on the front of this form.

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## WORD COUNT STANDARDS

As stated in Section 9 of the Elections Code.

(a) Counting of words, for purposes of this code, shall be as follows:

- (1) Punctuation is not counted.
- (2) Each word shall be counted as one word except as specified in this section.
- (3) All proper nouns, including geographical names, shall be considered as one word; for example, "City and County of San Francisco" shall be counted as one word.
- (4) Each abbreviation for a word, phrase, or expression shall be counted as one word. *E.G. UCLA, PTA, L.A.P.D.*
- (5) Hyphenated words that appear in any generally available standard reference dictionary, published in the United States at any time within the 10 calendar years immediately preceding the election for which the words are counted shall be considered as one word. Each part of all other hyphenated words shall be counted as a separate word.
- (6) Dates shall be counted as one word, in either format, i.e. *April 10, 1990* or *4/10/90*.
- (7) Any number consisting of a digit or digits shall be considered as one word. Any number which is spelled, such as "one," shall be considered as a separate word or words. "One" shall be counted as one word whereas "one hundred" shall be counted as two words. "100" shall be counted as one word.
- (8) Telephone numbers shall be counted as one word.
- (9) Internet web site and email addresses shall be counted as one word.

(b) This section shall not apply to counting words for ballot designations under Sections 13107 and 13107.5.

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### FOR MEMBER OF THE CITY COUNCIL

**JOHN SMITH**

**Age: 45**

**Occupation:** Businessman

I have been a 30 year resident of this City and thoroughly enjoy living here. I would like to increase citizen education and police resources to stop the gang and graffiti activity that are overtaking our city.

I would like to implement environmental standards for cleaner water and air quality.

I respectfully ask for your support and thank those of you who cast your vote for me. A vote for me is a vote for a better City Council.

/s/ John Smith

## SAMPLE OF STATEMENT FORMAT

## **RESOLUTION NO. 18-1029**

### **A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF PLEASANTON, CALIFORNIA, ADOPTING REGULATIONS, FOR CANDIDATES FOR ELECTIVE OFFICE PERTAINING TO CANDIDATES STATEMENTS SUBMITTED TO THE VOTERS AT AN ELECTION**

**WHEREAS**, §13307 of the Elections Code of the State of California provides that the governing body of any local agency adopt regulations pertaining to materials prepared by any candidate for the municipal election, including costs of the candidates statement.

**NOW, THEREFORE, BE IT RESOLVED**, that the City Council of the City of Pleasanton does declare, determine, and order as follows:

#### **SECTION 1. GENERAL PROVISIONS**

That pursuant to §13307 of the Elections Code of the State of California, each candidate for elective office to be voted for at an election to be held in the City of Pleasanton, may prepare a candidate's statement on or attached to the appropriate form provided by the City Clerk. The statement may include the name, age and occupation of the candidate and a brief description of no more than 200 words of the candidate's education and qualifications expressed by the candidate himself or herself. The statement shall not include party affiliation of the candidate, nor membership or activity in partisan political organizations. The statement shall be in typewritten form, signed by the candidate and filed in the Office of the City Clerk at the time the candidate's nomination papers are filed. For any discrepancy between the information listed on the hard and the digital copy of the statement, the signed hard copy will take precedence. The statement may be withdrawn, but not changed, during the period for filing nomination papers and until 5 p.m. of the next working day after the close of the nomination period.

#### **SECTION 2. FOREIGN LANGUAGE POLICY**

A. Pursuant to the Federal Voting Rights Act, candidates statements will be translated into Spanish and all languages required by the County of Alameda. The County is required to translate candidate's statements into the following languages: Chinese, Tagalog, and Vietnamese.

B. The County will mail separate voter information guides and candidates statements in Spanish, Chinese, Tagalog and Vietnamese to only those voters who are on the County voter file as having requested a voter information guide in a particular language. The County will make the voter information guides and candidates statements in the required languages available at all polling places, on the County's website, and in the Election Official's office.

#### **SECTION 3. PAYMENT**

A. Translations:

1. The candidate shall be required to pay for the cost of translating the candidates statement into any required foreign language as specified in Section 2 above pursuant to Federal and/or State law.



2. The candidate shall be required to pay for the cost of translating the candidates statement into any foreign language that is not required as specified in Section 2 above, pursuant to Federal and/or State law, but is requested as an option by the candidate.

**B. Printing:**

1. The candidate shall be required to pay for the cost of printing the candidates statement in English in the main voter pamphlet.

2. The candidate shall be required to pay for the cost of printing the candidates statement in a foreign language required in (A) of Section 2 above, in the main voter pamphlet.

3. The candidate shall be required to pay for the cost of printing the candidates statement in a foreign language requested by the candidate per (B) of Section 2 above, in the main voter pamphlet.

4. The candidate shall be required to pay for the cost of printing the candidates statement in a foreign language required by (A) of Section 2 above, in the facsimile voter pamphlet.

The City Clerk shall estimate the total cost of printing, handling, translating, and mailing the candidates' statements filed pursuant to this section, including costs incurred as a result of complying with the Voting Rights Act of 1965 (as amended) and require each candidate filing a statement to pay in advance to the City a deposit in the amount of 50% of the estimated cost as a condition of have his or her statement included in the voter's pamphlet. The estimate is just an approximation of the actual cost that varies from one election to another election and may be significantly more or less than the estimate, depending on the actual number of candidates filing statements. Accordingly, the City Clerk is not bound by the estimate and will, on a pro rata basis, bill the candidate for additional actual expense, or refund any excess paid, depending on the final actual cost. In the event of underpayment, the City Clerk shall require the candidate to pay the balance of the cost incurred. In the event of overpayment, the City Clerk shall prorate the excess amount among the candidates and refund the excess amount paid within 30 days of the election.

**SECTION 4. MISCELLANEOUS**

The City Clerk shall comply with all recommendations and standards set forth by the California Secretary of State regarding occupational designations and other matters relating to elections.

**SECTION 5. ADDITIONAL MATERIALS**

That no candidate will be permitted to include additional materials in the voter information guide.

**SECTION 6.** That the City Clerk shall provide each candidate or the candidate's representative with a copy of this Resolution at the time nomination petitions are issued.

**SECTION 7.** That all previous resolutions establishing Council policy on payment for candidates statements are repealed.

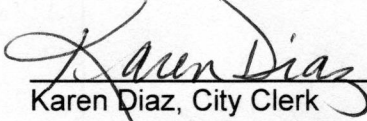
**SECTION 8.** That this resolution shall apply at the next ensuing municipal election and at each municipal election after that time.



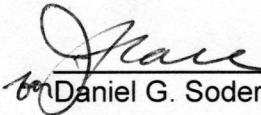
**PASSED, APPROVED AND ADOPTED** by the City Council of the City of Pleasanton at a regular meeting held on June 19, 2018.

I, Karen Diaz, City Clerk of the City of Pleasanton, California, certify that the foregoing resolution was adopted by the City Council at a regular meeting held on the 19<sup>th</sup> day of June 2018, by the following vote:

Ayes:	Councilmembers Brown, Narum, Olson, Pentin, Mayor Thorne
Noes:	None
Absent:	None
Abstain:	None

  
Karen Diaz, City Clerk  
Dated: 6/27/18

APPROVED AS TO FORM:

  
Daniel G. Sodergren, City Attorney

# WORD COUNT STANDARDS

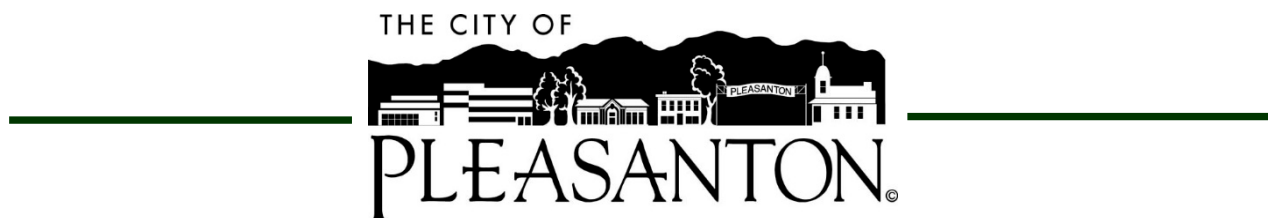
*Pursuant to Elections Code Section 9*

Punctuation	not counted
Single Character ( I, a, \$, & )	one
Dictionary Words	one
Abbreviation/Acronyms (E.B.R.P.D or EBRPD)	one
Proper nouns, geographical names of cities and counties	one
Streets, bridges	one for each word
Names of areas, such as Bay Area, East Bay, South Bay, etc.	one word
Names of school districts and special districts defined by political boundaries on map	one
All other proper names	one for each word
Telephone numbers, e-mail and web site addresses	one
Whole Numbers; Digits (1 or 100, etc.) Spelled out (one hundred)	one one for each word
Dates: All digits (4/5/99) Words and digits (April 5, 1999)	one two
Words hyphenated in any generally available dictionary	one
Hyphenated words not hyphenated in dictionary	one for each part

**\*see back page for examples**

## WORD COUNT STANDARDS: EXAMPLES

<b>San Francisco Bay Area</b>	<div> <div>San Francisco</div> <div>Bay Area</div> <div>1</div> </div>	<b>1 word</b>
<b>Main Street</b>	<div> <div>Main</div> <div>Street</div> <div>1</div> </div>	<b>1 word</b>
<b>Alameda Contra Costa Transit, Ward 1</b>	<div> <div>Alameda Contra Costa Transit, Ward 1</div> <div>1</div> </div>	<b>1 word</b>
<b>Bay Area Rapid Transit District, Ward 1</b>	<div> <div>Bay Area Rapid Transit District, Ward 1</div> <div>1</div> </div>	<b>1 word</b>
<b>Albany Unified School District</b>	<div> <div>Albany Unified School District</div> <div>1</div> </div>	<b>1 word</b>



**MANNER OF PAYMENT FOR CANDIDATE STATEMENT  
November 6, 2018 General Municipal Election**

The estimated cost for printing a Candidate Statement is \$1,200. Please check below concerning payment of the candidate's statement deposit.

The required deposit of \$600 is submitted in the form of:

☐ Check

☐ Money Order

☐ Cash

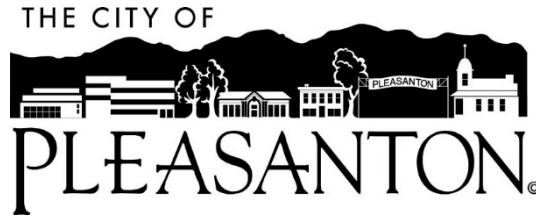
I understand, by signing below, that the amount herewith deposited is an estimated pro-rated share of the actual cost of including my statement in the official sample ballot. I agree that if my pro rata share exceeds the deposit, I will pay the difference when billed.

Executed on \_\_\_\_\_, 2018, at Pleasanton, California.

Signature: \_\_\_\_\_

Print name: \_\_\_\_\_

## APPENDIX G: VOLUNTARY EXPENDITURE LIMIT



To: Candidates for City Council

From: Karen Diaz, City Clerk

Subject: Voluntary Campaign Expenditure Limitation Points of Clarification

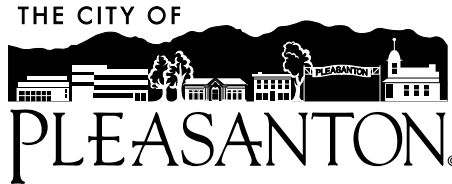
The following points of clarification are provided with regard to the voluntary campaign expenditure limitation set forth in Pleasanton Municipal Code Chapter 1.22. As per §1.22.020, the definitions set forth in the California Government Code §§ 82000 *et seq.* (the Political Reform Act) apply to the implementation of this limitation.

Nonmonetary contributions. Nonmonetary (also known as in-kind) contributions received and reported on Schedule C of the Campaign Disclosure Statement / Form 460 are to be counted as an expenditure subject to the voluntary campaign expenditure limitation if such contributions are for election-related activities. Election-related activities are defined in Government Code §82015(b)(2)(C)(i) to (vi) and (viii) as:

- (i) Communications that contain express advocacy of the nomination or election of the candidate or the defeat of his or her opponent.
- (ii) Communications that contain reference to the candidate's candidacy for elective office, the candidate's election campaign, or the candidate's or his or her opponent's qualifications for elective office.
- (iii) Solicitation of contributions to the candidate or to third persons for use in support of the candidate or in opposition to his or her opponent.
- (iv) Arranging, coordinating, developing, writing, distributing, preparing, or planning of any communication or activity described in clauses (i), (ii), or (iii), above.
- (v) Recruiting or coordinating campaign activities of campaign volunteers on behalf of the candidate.
- (vi) Preparing campaign budgets.
- (viii) Communications directed to voters or potential voters as part of activities encouraging or assisting persons to vote if the communication contains express advocacy of the nomination or election of the candidate or the defeat of his or her opponent.

Filing Fees / Candidate Statement. If a candidate uses his or her own personal money to pay for either a filing fee for a declaration of candidacy, or a candidate statement, that is not an expenditure counted towards the voluntary campaign expenditure limitation. (See Government Code §82025) However, if campaign contributions from others are used to pay these amounts, the costs do cumulate towards the voluntary campaign expenditure limitation.

If you have additional questions regarding the voluntary campaign expenditure limitation, please contact the City Clerk at 925-931-5028.



**CANDIDATE PLEDGE**  
**Voluntary Campaign Expenditure Limitation**  
**November 6, 2018 General Municipal Election**

I, \_\_\_\_\_, candidate for the office of \_\_\_\_\_ for the City of Pleasanton, voluntarily pledge to adhere to a campaign expenditure limit of Fifty One Thousand, Three Hundred and Twelve Dollars (\$51,312) cumulative for myself and any candidate committee that I control.

As adopted by City Council Ordinance No. 1968, the findings and purpose of this voluntary campaign expenditure limit support a policy that: "By meeting residents, business owners and community members in person, candidates will not need to rely as heavily on mass media communication, and therefore campaign expenditures can be voluntarily reduced."

I acknowledge that for the November 6, 2018 General Municipal Election, this voluntary campaign expenditure limitation will cumulatively apply to all expenses made by me and any candidate committee that I control for the election period from January 1, 2018 until December 31, 2018.

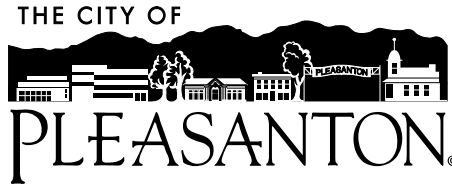
To verify my compliance with this voluntary pledge, I shall file the attached verification with the City Clerk with each campaign statement filed by me and any candidate committee that I control.

Dated: \_\_\_\_\_

Pledge taken by: \_\_\_\_\_

Signature: \_\_\_\_\_

Print name: \_\_\_\_\_



**VERIFICATION OF COMPLIANCE**  
**Voluntary Campaign Expenditure Limit Pledge**  
**November 6, 2018 General Municipal Election**

I, \_\_\_\_\_, candidate for the office of \_\_\_\_\_ for the City of Pleasanton, verify I have not, nor has any candidate committee that I control, made campaign expenditures (which includes loans) in excess of Fifty One Thousand, Three Hundred and Twelve Dollars (\$51,312) cumulatively since January 1, 2018.

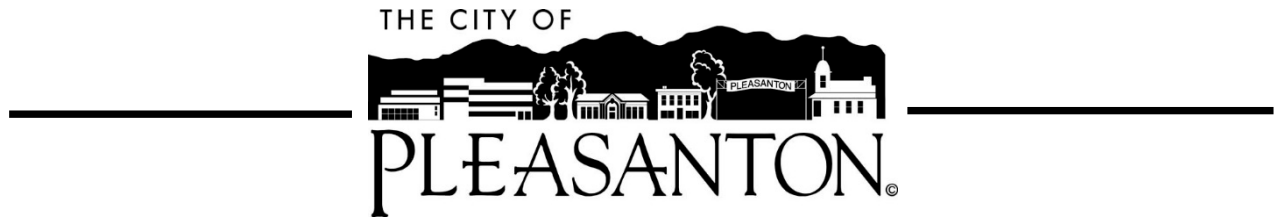
Dated: \_\_\_\_\_

Signature: \_\_\_\_\_

Print name: \_\_\_\_\_

*Note:* An original signed verification must be submitted to the City Clerk simultaneously with each campaign statement required by Pleasanton Municipal Code § 1.20.030 filed by each candidate who has taken this voluntary pledge, and that candidate's controlled committee. (See Pleasanton Municipal Code §1.22.040.)

## APPENDIX H: CANDIDATE INFORMATION FOR PUBLIC REVIEW



To: Candidates for City Council

From: Karen Diaz, City Clerk

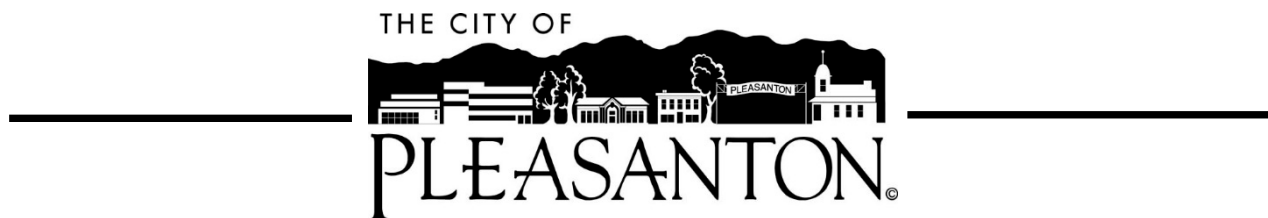
Subject: Permission to Post Candidate Information on the City of Pleasanton Website

The City of Pleasanton maintains a website that offers the general public access to City documents and information.

Your candidate statement, any campaign statement filings, and other public information regarding your candidacy will be posted on the site. Government Code Section 6254.21 requires written approval be obtained prior to the posting of elected or appointed officials.

**Please indicate on the Candidate Information For Public Review form whether you want our office to remove any reference to your home address or phone number from our web postings.**





**CANDIDATE INFORMATION FOR PUBLIC REVIEW  
November 6, 2018 General Municipal Election**

Name of Candidate: \_\_\_\_\_

Home Address: \_\_\_\_\_ Zip: \_\_\_\_\_

Email: \_\_\_\_\_

Telephone Home: \_\_\_\_\_

Work: \_\_\_\_\_

Mobile: \_\_\_\_\_

**Please indicate what contact information may be posted on the City's website by checking the boxes below and signing this form.**

**Home Address** ☐ Yes ☐ No

**Telephone** (*Home*) ☐ Yes ☐ No

(*Work*) ☐ Yes ☐ No

(*Mobile*) ☐ Yes ☐ No

**E-mail** ☐ Yes ☐ No

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Date

# APPENDIX I: BALLOT DESIGNATION

## BALLOT DESIGNATION

The ballot designation is the word, or group of not more than three (3) words\*, which will appear on the ballot under the candidate's name, designating the current principal profession, vocation, or occupation of the candidate. \*Incumbents may use the title of their office even if it is longer than three words.

The ballot designation that a candidate may use is governed by Elections Code Section 13107, which states the following:

- (a) With the exception of candidates for Justice of the State Supreme Court or court of appeal, immediately under the name of each candidate, and not separated from the name by any line, may appear at the option of the candidate only one of the following designations:
  - (1) Words designating the elective city, county, district, state, or federal office which the candidate holds at the time of filing the nomination documents to which he or she was elected by the vote of the people, or to which he or she was appointed, in the case of a superior, municipal, or justice court judge.
  - (2) The word "incumbent" if the candidate is a candidate for the same office which he or she holds at the time of filing the nomination papers, and was elected to that office by a vote of the people, or, in the case of a superior or municipal court judge, was appointed to that office.
  - (3) No more than three words designating the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents. For purposes of this section, all California geographical names shall be considered to be one word.
  - (4) The phrase "appointed incumbent" if the candidate holds an office other than a judicial office by virtue of appointment, and the candidate is a candidate for election to the same office, or, if the candidate is a candidate for election to the same office or to some other office, the word "appointed" and the title of the office. In either instance, the candidate may not use the unmodified word "incumbent" or any words designating the office unmodified by the word "appointed." However, the phrase "appointed incumbent" shall not be required of a candidate who seeks reelection to an office which he or she holds and to which he or she was appointed, as a nominated candidate, in lieu of an election, pursuant to Sections 5326 and 5328 of the Education Code or Sections 7228, 7423, 7673, 10229 or 10515 of the Elections Code.

- (b) Neither the Secretary of State nor any other election official shall accept a designation of which any of the following would be true:
- (1) It would mislead the voter.
  - (2) It would suggest an evaluation of a candidate, such as outstanding, leading expert, virtuous, or eminent.
  - (3) It abbreviates the word “retired” or places it following any word or words, which it modifies.
  - (4) It uses a word or prefix, such as “former” or “ex-,” which means a prior status. The only exception is the use of the word “retired.”
  - (5) It uses the name of any political party, whether or not it has qualified for the ballot.
  - (6) It uses a word or words referring to a racial, religious, or ethnic group.
  - (7) It refers to any activity prohibited by law.
- (c) If upon checking the nomination documents, the election official finds the designation to be in violation of any of the restrictions outlined in this section, the election official shall notify the candidate by registered or certified mail return receipt requested, addressed to the mailing address appearing on the candidate’s nomination documents.
- (1) The candidate shall, within three days from the date of receipt of the notice, appear before the election officer or, in the case of the Secretary of State, notify the Secretary of State by telephone, and provide an alternate designation.
  - (2) In the event the candidate fails to provide an alternate designation, no designation shall appear after the candidate’s name.
- (d) The designation shall remain the same for all purposes of both primary and general elections, unless the candidate, at least 98 days before the general election, requests in writing a different designation which the candidate is entitled to use at the time of the request.
- (e) In all cases, words so used shall be printed in 8-point roman uppercase and lowercase type except that, if the designation selected is so long that it would conflict with the space requirements of CA Election Code Sections 13207 and 13211, the elections official shall use a type size for the designation for each candidate for that office sufficiently smaller to meet these requirements.”

No title or degree shall appear on the same line on a ballot as a candidate’s name, either before or after the candidate’s name, in the case of any election to any office. (EC 13106)

## **Guidelines**

The following are guidelines to assist candidates in selecting appropriate ballot designations. The guidelines were issued by the Secretary of State's office and incorporate past Secretary of State and court interpretations on acceptable and unacceptable designations.

### **Acceptable Designations**

1. A principal profession, vocation, or occupation is the primary job, or work one does which is the means of livelihood or production of income, as opposed to a hobby or avocation. Some persons may work at more than one profession, vocation, or occupation. Exceptions may apply for person's retired or unemployed by choice or by circumstance. **No designation that connotes a status is acceptable.** Examples of unacceptable status claims include "taxpayer," "citizen," "patriot," "renter," and "presidential appointee."
2. A candidate may use either his or her current principal profession, vocation, occupation, regardless of the amount of time in which the candidate has engaged in such or, in the alternative, any principal profession, vocation or occupation in which the candidate was engaged over the course of the previous calendar year even though it may no longer be one in which the candidate is currently engaged. In choosing between the alternatives, the candidate must ask himself or herself: "What is my primary job right now?" and "What was my primary job last year?" Either job, if otherwise proper, based on the statutory criteria, may be used as a ballot designation. For purposes of this section, the "calendar year immediately preceding the filing of nomination papers" is defined as that year beginning January 1 immediately preceding the year in which nomination papers for the office are allowed to be filed.

Organization names must be replaced with generic references. For example, "President, Computer Company" would be acceptable; "President, Apple Computer" would not be allowed. Similarly, based on previous court interpretation, a designation such as "Director, ABC Club" would not be permissible, whereas, "Administrator, Environmental Club" would be. Ballot designations are not intended to advertise a specific product, corporation or organization; they are intended to reveal what a candidate does, not for whom the work or service is performed.

Multiple designations are **usually** acceptable, provided that the three-word limitation is met.

The word "retired" may be allowed, but it must precede the word(s), which it modifies and may not be abbreviated. "Retired Policeman" is acceptable, but "Policeman, Retired" is not.

Retired is defined as having given up one's work, business, career, etc. especially because of advanced age. **Generally**, a retired status **may** be allowed if the candidate can demonstrate retirement. The following are examples of evidence supporting retired status:

- a. Served in the position being requested to be listed as retired from for more than five years;
- b. Is collecting or eligible to collect retirement benefits/pension (i.e., is vested);
- c. Is 55 or more years old;
- d. Left the position voluntarily after serving a minimum of 5 years;
- e. If requesting the use of a retired public office designation, was not recalled from or did not fail to win that office or surrender it to run for another office in a previous election campaign;
- f. Has not had another more recent occupation;
- g. Retirement benefits are providing a principal source of income.

Because the Elections Code specifically forbids the use of a prior profession, vocation or occupation, unless the candidate is retired there from, the election official **may** require candidates to provide substantiating evidence or documentation in support of the requested designation.

### **Unacceptable Designations**

A political party, central committee designation, is not a principal profession, vocation, or occupation as prescribed in this statute, nor is it an elective county or state office.

Ballot designations suggesting an evaluation of a candidate such as “Best,” “Exalted,” “Prominent,” “Advocate,” “Activist,” “Reformer,” “pro-” and “Anti-” anything conveying a philosophy, or words connoting a status are unacceptable designations. Statements of philosophy belong in campaign ads and literature, not as ballot designations.

Commercial or proper names such as “IBM President,” “Director, Health Services,” or “Sierra Club Secretary,” are impermissible. Generic descriptions of specific jobs should be substituted; for example, “Computer Corporation President,” “State Agency Director,” or “Nonprofit Organization Secretary.”

Certain requested designations may connote a status, which also suggests an evaluation; for example, “Patriot” or “Presidential Appointee.” These are unacceptable designations.

### **Use of the Word “Volunteer”**

On occasion, a ballot designation of “Community Volunteer” or “School Volunteer” is requested. Although there are many dedicated individuals who give freely of their talents, time and efforts, the word “volunteer” generally is not an acceptable designation. However, there are exceptions. If an individual consistently (over an extended period) volunteers services to the extent that it is the equivalent of full-time employment, then it may be possible to use the word.

## BALLOT DESIGNATION WORKSHEET

Pursuant to California Elections Code Section 13107.3 and Section 20711 of the California Code of Regulations, this entire form **must be completed**, or it will not be accepted and you will not be entitled to a ballot designation. **DO NOT LEAVE ANY RESPONSE SPACES BLANK.** If information requested is not applicable, please write N/A in the space provided. Otherwise the information **MUST** be provided. Upon filing, this worksheet will be a public record.

Candidate Name: \_\_\_\_\_

Office of: \_\_\_\_\_

Home Address: \_\_\_\_\_

Business Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Business Phone: \_\_\_\_\_

Home/Mobile Phone: \_\_\_\_\_

Fax Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Other Person Authorized to Act in Your Behalf or Not Applicable: ☐

Attorney Name: \_\_\_\_\_

Office: \_\_\_\_\_

Home Address: \_\_\_\_\_

Business Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Business Phone: \_\_\_\_\_

Home/Mobile Phone: \_\_\_\_\_

Fax Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

### PROPOSED BALLOT DESIGNATION:

**1st Alternative:** \_\_\_\_\_

**2nd Alternative:** \_\_\_\_\_

You may select as your ballot designation one of the following:

- (a) Your current principal profession(s), vocation(s), or occupation(s) [maximum total of three words, separated by a "/"]
- (b) The full title of the public office you currently occupy and to which you were elected
- (c) "Appointed [full title of public office]" if you currently serve by appointment in an elective public office and are seeking election to a different office
- (d) "Incumbent" if you were elected (or, if you are a Superior Court Judge, appointed) to your current public office and seek election to a new term
- (e) "Appointed Incumbent" if you were appointed to your current elective public office (other than Superior Court Judge) and seek election to a new term

In the space provided on the next page or on an attachment sheet, describe why you believe you are entitled to use the proposed ballot designation. Attach any documents or exhibits that you believe support your proposed ballot designation. If using the title of an elective office, attach a copy of your certificate of election or appointment. These documents will not be returned to you. **Do not submit originals.**

If your proposed ballot designation includes the word "volunteer," indicate the title of your volunteer position and the name of the entity for which you volunteer along with a brief description of the type of volunteer work you do and the approximate amount of time involved. You may only use the ballot designation "community volunteer" if you volunteer for a 501(c)(3) charitable, educational, or religious organization, a governmental agency or an educational institution. You may not use "community volunteer" together with another designation.

**Remember, it is your responsibility to justify your proposed ballot designation and to provide all requested details.**

For your reference, attached are Elections Code Sections 13107 and 13107.3, and 2 California Code of Regulations (CCR) Section 20711. You may also wish to consult Elections Code Section 11307.5 ("community volunteer") and 2 CCR Sections 20712 - 20719 (found at [www.sos.ca.gov](http://www.sos.ca.gov)).

Justification for use of proposed ballot designation:

Current or Most Recent Job Title: \_\_\_\_\_ Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

Employer Name or Business: \_\_\_\_\_

Person(s) Who Can Verify this Information:

Name(s): \_\_\_\_\_ Phone Number: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Name(s): \_\_\_\_\_ Phone Number: \_\_\_\_\_

E-Mail: \_\_\_\_\_

**Before signing below, answer the following questions:**

Does your proposed ballot designation:

- |   |     |                          |    |                          |
|---|-----|--------------------------|----|--------------------------|
| -Use only a portion of the title of your current elected office?  | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Use only the word "Incumbent" for an elective office (other than Superior Court Judge) to which you were appointed?          | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Use more than three total words for your principal professions, vocations or occupations?                                    | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Suggest an evaluation of you, such as outstanding, leading, expert, virtuous, or eminent?                                    | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Refer to a status (Veteran, Activist, Founder, Scholar), rather than a profession, vocation or occupation?                   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Abbreviate the word "retired"?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Place the word "retired" after the words it modifies? Example: Accountant, retired   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Use any word or prefix (except "retired") such as "former" or "ex-" to refer to a former profession, vocation or occupation? | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Use the word "retired" along with a current profession, vocation or occupation?<br>Example: Retired Firefighter/Teacher      | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Use the name of a political party or political body?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Refer to a racial, religious, or ethnic group?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| -Refer to any activity prohibited by law?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

**If the answer is to any of these questions is "Yes," your proposed Ballot Designation is likely to be rejected.**

Candidate's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

For your reference, the relevant provisions of the Elections Code section are reproduced below:

**13106. No Title or Degree.**

No title or degree shall appear on the same line on a ballot as a candidate's name, either before or after the candidate's name.

**13107. Ballot Designation Requirements**

(a) With the exception of candidates for Justice of the State Supreme Court or Court of Appeal, immediately under the name of each candidate, and not separated from the name by any line, unless the designation made by the candidate pursuant to Section 8002.5 must be listed immediately below the name of the candidate pursuant to Section 13105, and in that case immediately under the designation, may appear at the option of the candidate only one of the following designations:

- (1) Words designating the elective city, county, district, state, or federal office which the candidate holds at the time of filing the nomination documents to which he or she was elected by vote of the people, or to which he or she was appointed, in the case of a superior court judge.
- (2) The word "incumbent" if the candidate is a candidate for the same office which he or she holds at the time of filing the nomination papers, and was elected to that office by a vote of the people, or, in the case of a superior court judge, was appointed to that office.
- (3) No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents. For purposes of this section, all California geographical names shall be considered to be one word. Hyphenated words that appear in any generally available standard reference dictionary, published in the United States at any time within the 10 calendar years immediately preceding the election for which the words are counted, shall be considered as one word. Each part of all other hyphenated words shall be counted as a separate word.
- (4) The phrase "appointed incumbent" if the candidate holds an office other than a judicial office by virtue of appointment, and the candidate is a candidate for election to the same office, or, if the candidate is a candidate for election to the same office or to some other office, the word "appointed" and the title of the office. In either instance, the candidate may not use the unmodified word "incumbent" or any words designating the office unmodified by the word "appointed." However, the phrase "appointed incumbent" shall not be required of a candidate who seeks reelection to an office which he or she holds and to which he or she was appointed, as a nominated candidate, in lieu of an election, pursuant to Sections 5326 and 5328 of the Education Code or Section 7228, 7423, 7673, 10229, or 10515 of this code.

(b) Neither the Secretary of State nor any other elections official shall accept a designation of which any of the following would be true:

- (1) It would mislead the voter.
- (2) It would suggest an evaluation of a candidate, such as outstanding, leading, expert, virtuous, or eminent.
- (3) It abbreviates the word "retired" or places it following any word or words which it modifies.
- (4) It uses a word or prefix, such as "former" or "ex-" which means a prior status. The only exception is the use of the word "retired."
- (5) It uses the name of any political party, whether or not it has qualified for the ballot.
- (6) It uses a word or words referring to a racial, religious, or ethnic group.
- (7) It refers to any activity prohibited by law.

(c) If, upon checking the nomination documents and the ballot designation worksheet described in Section 13107.3, the elections official finds the designation to be in violation of any of the restrictions set forth in this section, the elections official shall notify the candidate by registered or certified mail return receipt requested, addressed to the mailing address provided on the candidate's ballot designation worksheet.

- (1) The candidate shall, within three days, excluding Saturday, Sunday, and state holidays, from the date he or she receives notice by registered or certified mail, or from the date the candidate receives actual notice of the violation, whichever occurs first, appear before the elections official or, in the case of the Secretary of State, notify the Secretary of State by telephone, and provide a designation that complies with subdivision (a).
- (2) In the event the candidate fails to provide a designation that complies with subdivision (a) within the three-day period specified in paragraph (1), no designation shall appear after the candidate's name.

(d) No designation given by a candidate shall be changed by the candidate after the final date for filing nomination documents, except as specifically requested by the elections official as specified in subdivision (c) or as provided in subdivision (e). The elections official shall maintain a copy of the ballot designation worksheet for each candidate that appears on the ballot in the county for the same period of time as applied to nomination documents pursuant to Section 17100.

(e) The designation shall remain the same for all purposes of both primary and general elections, unless the candidate, at least 98 days prior to the general election, requests in writing a different designation which the candidate is entitled to use at the time of the request.

**13107.3 Ballot Designation Worksheet in format prescribed by Secretary of State**

(a) A candidate who submits a ballot designation pursuant to subdivision (a) of Section 13107 shall file a ballot designation worksheet that supports the use of that ballot designation by the candidate, in a format prescribed by the Secretary of State.

(b) The ballot designation worksheet shall be filed with the elections official at the same time that the candidate files his or her declaration of candidacy.

(c) In the event that a candidate fails to file a ballot designation worksheet in accordance with subdivision (a), no designation shall appear under the candidate's name on the ballot.



For your reference, the relevant provisions of the Elections Code section are reproduced below:

**13107.5. Ballot Designation of "Community Volunteer"**

(a) A candidate's ballot designation as "community volunteer" shall constitute a valid principal vocation or occupation for purposes of subdivision (a) of Section 13107, if not otherwise in violation of any of the restrictions set forth in that section, and subject to the following conditions:

- (1) A candidate's community volunteer activities constitute his or her principal profession, vocation, or occupation.
- (2) A candidate is not engaged concurrently in another principal profession, vocation, or occupation.
- (3) A candidate may not use the designation of "community volunteer" in combination with any other principal profession, vocation, or occupation designation.

(b) The Secretary of State shall by regulation define what constitutes a community volunteer for purposes of this section.

**20711. Ballot Designation Worksheet.**

(a) In order to facilitate review of a candidate's proposed ballot designation by the Secretary of State pursuant to Elections Code Section 13107, the candidate shall submit, at the time of filing his or her proposed ballot designation on the Declaration of Candidacy, a completed Ballot Designation Worksheet on a form provided by the Secretary of State.

(b) All Ballot Designation Worksheets filed with the Office of the Secretary of State or the county elections officials pursuant to this section shall be public records and shall be available for inspection and copying at the public counter of the Elections Division of the Office of the Secretary of State, Fifth Floor, 1500 11th Street, Sacramento, California 95814, or at the office of the applicable county elections official.

(c) The Secretary of State shall provide a master copy or copies of the Ballot Designation Worksheet to all elections officials responsible for providing and accepting the nomination documents for candidates in elections for offices certified by the Secretary of State. The Ballot Designation Worksheet shall request that the candidate proposing the ballot designation provide the following information:

- (1) The candidate's name, home, business and mailing addresses, telephone numbers, e-mail address, if available, and fax number;
- (2) A designation of the office for which the candidate is seeking election;
- (3) The name, home, business and mailing addresses, telephone numbers, e-mail address, if available, and fax number of the attorney representing the candidate or for any other person to be contacted in the event the Secretary of State requires further information regarding the proposed ballot designation;
- (4) The proposed ballot designation submitted by the candidate;
- (5) The candidate may submit one or more proposed alternate ballot designations ranked in order of the candidate's preference;
- (6) A brief statement identifying the factual basis upon which the candidate claims the proposed ballot designation and each proposed alternate ballot designation, including the following:
  - (A) If the candidate holds elected office and is submitting his or her proposed ballot designation pursuant to Elections Code Section 13107, subdivisions (a)(1) or (a)(2), the candidate shall indicate the elective office he or she currently occupies and may attach a copy of his or her Certificate of Election;
  - (B) If the candidate is a judicial officer and is submitting his or her proposed ballot designation pursuant to Elections Code Section 13107, subdivisions (a)(1) or (a)(2), the candidate shall indicate the elective office he or she currently holds and may attach either (A) a copy of his or her Certificate of Election or (B) a copy of his or her commission or certificate of appointment, issued at the time the candidate was appointed to the judicial office which he or she currently occupies;
  - (C) If the candidate submits a ballot designation pursuant to Elections Code Section 13107, subdivision (a)(3), the candidate shall indicate:
    - (i) The title of the position or positions which he or she claims supports the proposed ballot designation;
    - (ii) The dates during which the candidate held such position;
    - (iii) A description of the work he or she performs in the position;
    - (iv) The name of the candidate's business or employer;
    - (v) The name and telephone number of a person or persons who could verify such information; and
    - (vi) A statement that the professions, vocations or occupations relied upon to support the proposed ballot designation constitute the primary, main or leading professions, vocations or occupations of the candidate, in accordance with the definition of the term "principal" as set forth at Section 20714, subdivision (b).
  - (D) If the candidate submits a ballot designation pursuant to Elections Code Section 13107, subdivision (a)(4), the candidate shall indicate the date on which he or she was appointed to the office for which he or she is an appointed incumbent.

(d) The candidate may attach or append any supporting documents or other exhibits to his or her Ballot Designation Worksheet which he or she believes support his or her proposed ballot designation. Such attached documents or other exhibits shall be deemed to be incorporated by reference as part of the candidate's Ballot Designation Worksheet and shall be considered as such by the Secretary of State.

(e) If a candidate requests a change of his or her ballot designation pursuant to Elections Code Section 13107(e), that request shall be accompanied by a Ballot Designation Worksheet.